#### UNITED STATES OF AMERICA BEFORE THE FEDERAL TRADE COMMISSIO

In the Matter of

ECM BioFilms, Inc., a corporation, also d/b/a Enviroplastics International

PUBLIC DOCUMENT

Docket No. 9358

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ORIGINAL

#### COMPLAINT COUNSEL'S MOTION TO COMPEL DISCOVERY WRONGLY WITHHELD BY DR. DAVID STEWART

Pursuant to Rule 3.38(a), Complaint Counsel respectfully requests that the Court order Respondent ECM Biofilms, Inc. ("ECM") to supplement, immediately, its incomplete responses to document requests issued in November regarding ECM's sophisticated customer defense. Specifically, ECM engaged Dr. David Stewart to opine regarding how ECM's allegedly sophisticated customers understand biodegradation. Because Dr. Stewart wrongly withheld information highly probative (indeed, potentially dispositive) of ECM's sophisticated customer defense, we ask the Court to order ECM to provide all information within its control that responds to outstanding document requests regarding this defense.

#### BACKGROUND

#### A. David Stewart's Manufacturer's Pilot Study

Last week, Dr. Stewart testified that he conducted a "manufacturers' pilot study" for ECM.<sup>1</sup> To facilitate this "study," ECM (likely CEO Robert Sinclair) apparently selected a subset of its customers whom interviewers working for Dr. Stewart would contact (as well as the particular employees at those businesses interviewers would contact).<sup>2</sup> Dr. Stewart's interviewers then asked ECM's hand-picked customers, among other things: "How would you

<sup>&</sup>lt;sup>1</sup> CXA:1 at 186:20-22.

<sup>&</sup>lt;sup>2</sup> *Id.* at 201:3-6 ("Q: .... ECM not only provided the [] companies your researchers would speak with but the specific people, correct? A: That's correct."); *id.* at 188:24-189:1 (testifying that "it's my understanding that Mr. Sinclair or something in his organization" developed the list).

define biodegradability?"<sup>3</sup> Notably, Dr. Stewart further testified that—despite receiving specific individuals' information—he apparently was able to reach only ten ECM customers out of list containing approximately 150 ECM customers.<sup>4</sup>

Most important, four of the ten cherry-picked customers gave answers inconsistent with ECM's position that, notwithstanding its marketing claims, its customers understand that ECM Plastic will take much longer than advertised to biodegrade. In particular, one hand-picked customer defined "biodegradability" with reference to "[t]he ability to make materials dissolve **within a year**."<sup>5</sup> Two other responses referenced ASTM tests D5511 and D6400, both of which are short-term tests that run for less than a year<sup>6</sup> (and Dr. Stewart agreed that, given the timeframes of these tests, these ECM customers "**understand[] biodegradation is something that happens in less than a year**.").<sup>7</sup> A fourth respondent defined "biodegradation as something that occurs "within 1 to 3 years."<sup>8</sup> Suffice it to say, ECM did not instruct Dr. Stewart to convert the pilot study into full-scale research<sup>9</sup> (Dr. Stewart attributed this largely to allegedly insufficient time).<sup>10</sup>

Significantly, notwithstanding the fact that ECM hand-picked the survey respondents, ECM, its counsel, and Dr. Stewart failed to produce the list of their names to us:

QUESTION: Have you ever seen a copy of the list?

<sup>5</sup> CXA:3 at 3 (emphasis added).

<sup>6</sup> *Id.* 

<sup>7</sup> CXA:1 at 213:1-215:3 (emphasis added).

<sup>8</sup> CXA:3 at 3.

<sup>9</sup> CXA:1 at 217:4-6.

<sup>10</sup> See id. at 219:14-220:1. Dr. Stewart testified that he only needed to interview approximately 40 more ECM customers to complete a full-scale study, *see id.* at 220:2-8 (testifying that he needed 50 overall), and it is unclear why he could not have done so in a few days. *See* CXA:4 (excerpted and redacted to preserve confidentiality). In fairness, Dr. Stewart also denied knowing "all of the reasons" that may have led to ECM's decision not to run the pilot study as a full study. *See* CXA:1 at 219:14-17 ("Q: Why was the pilot study not rerun as a full scale study? A: I don't know all of the reasons that may have gone into it.").

<sup>&</sup>lt;sup>3</sup> CXA:2 at Q6.

<sup>&</sup>lt;sup>4</sup> CXA:1 at 209:21-25.

STEWART:	I was provided the list, yes.
QUESTION:	Why was a copy of that list not produced to Complaint Counsel?
STEWART:	Because it's confidential.
QUESTION:	Was there any other reason?
STEWART:	I [have] an ethical responsibility to protect the identity of survey respondents and so if defense counsel wants to provide it since they provided it to me they're welcome to do that[.]
QUESTION:	ECM has a copy of the list, correct?
STEWART:	That's actually where I obtained it.
QUESTION:	Just so the record is clear, you obtained it from Emord & Associates and you infer that Emord & Associates obtained it from ECM?
STEWART:	That's fair, yes. <sup>11</sup>

Although ECM produced the list to Complaint Counsel yesterday evening,<sup>12</sup> it remains

impossible to determine which companies (or persons) on the list were interviewed, or who gave

which answers. This is because the survey results identify respondents by number, and

Complaint Counsel has no way to correlate the numbers on the results with Mr. Sinclair's list of

potential respondents. Indeed, Dr. Stewart testified:

QUESTION:

So Complaint Counsel based on information that has been produced to us to date cannot identify the manufacturers or the persons that participated in the manufacturer's [study], correct?

<sup>&</sup>lt;sup>11</sup> CXA:1 at 187:3-188:13.

<sup>&</sup>lt;sup>12</sup> See CXA:4 (excerpted and redacted to preserve confidentiality). ECM implied that it produced this document to Complaint Counsel as part of ECM's initial disclosures. This is false, as the document ECM produced last night is dated "Sunday, May 4, 2014." *See id.* Additionally, several large current customers are missing from the May 4 list ECM provided to Dr. Stewart, and the May 4 list contains at least one company that is not a current ECM customer. Thus: (1) on or about May 4, Dr. Stewart received a partial list of ECM customers he should interview (the list appears both over and under-inclusive); (2) before his deposition, Dr. Stewart produced a report of "pilot study" results that identified survey respondents only by number; and (3) after his deposition, Dr. Stewart produced the May 4 list, which identifies potential survey respondents only by name.

#### STEWART: That is correct.<sup>13</sup>

Producing the list with names but no numerical identifiers did not solve the problem because the

survey data contains only numerical identifiers, not names.<sup>14</sup>

#### **B.** Complaint Counsel's Document Requests

Seven months ago, Complaint Counsel issued two document requests covering the

information at issue:

#### Request No. 11

Provide all documents, whether prepared by or for ECM or any other entity, including any advertising agency, regarding consumer perception, comprehension, or recall (including, but not limited to, copy tests, marketing or consumer surveys and reports, penetration tests, recall tests, audience reaction tests, and communication tests) of . . . biodegradability in general.

#### Request No. 12

Provide all documents that support or call into question your contention that your customers or distributors are sophisticated purchasers.<sup>15</sup>

ECM has a duty to supplement its responses "in a timely manner." See Rule 3.31(e)(2).

#### LEGAL STANDARD

Rule 3.31(c)(1) provides that "[p]arties may obtain discovery to the extent that it may be

reasonably expected to yield information relevant to the allegations of the complaint, to the

proposed relief, or to the defenses of any respondent." Although Rule 3.31(c)(2) limits

discovery in certain respects, there is no statutory, constitutional, or common law "survey

research" privilege.

#### ARGUMENT

ECM apparently makes two arguments against disclosure, both of which fail. First, ECM

contends, or at least implies, that it cannot obtain the names of the ECM customers who

<sup>15</sup> CCA:5 at 6-7.

<sup>&</sup>lt;sup>13</sup> CXA:1 at 261:21-25.

<sup>&</sup>lt;sup>14</sup> As the Court undoubtedly will recall, this is reminiscent of ECM's tactic with respect to its initial disclosures. *See* Order (Feb. 4, 2014) at 2 ("The Revenues List, however, does not identify revenue by customer name, and the Customer List does not contain customer numbers. Thus, there is no way to tie the revenues figures disclosed to particular identified customers.").

answered Dr. Stewart's telephone calls. However, even if one assumes that ECM and/or its counsel do not have the information, requests under Rule 3.37(a) apply to all materials in ECM's "possession, custody, or <u>control</u>."<sup>16</sup> As ECM itself explained, experts are agents of the party hiring them.<sup>17</sup> If the Court so orders, ECM can request the responsive information from Dr. Stewart. To the extent that the responsive information is physically within the custody of the research firm (California Survey Research Services ("CSRS")) that Dr. Stewart engaged to call the manufacturers ECM chose,<sup>18</sup> CSRS is Dr. Stewart's agent, ECM's agent, or both, and ECM thus retains control over the responsive information.<sup>19</sup> The Court should not permit ECM's shell game with this critical data to defeat reasonable, necessary, and probative discovery.

Second, ECM implies that the names of interviewees are somehow protected. However, the telephone calls Dr. Stewart supervised were never a genuine survey. Rather, as discussed above, Dr. Stewart called specific ECM customers (that Mr. Sinclair apparently selected) and specific people at those companies (that ECM also selected). Assuming this is methodologically defensible from a survey research perspective (and it is not), the answers these ECM customers gave bear upon ECM's sophisticated customer defense just as much as answers ECM customers gave in depositions Complaint Counsel took—except that, obviously, ECM knows the names of those deponents and both parties have the opportunity to place responses to questions in

<sup>&</sup>lt;sup>16</sup> (Emphasis added).

<sup>&</sup>lt;sup>17</sup> ECM Mtn. to Serve Subpoenas (June 4, 2014) at 2 ("Here, the party receiving the subpoena [an expert for Complaint Counsel] is, in fact, <u>an agent of the Federal Trade</u> <u>Commission</u>[.]") (Emphasis added).

<sup>&</sup>lt;sup>18</sup> ECM offered not to oppose a subpoena to CSRS, knowing that CSRS will almost certainly move to quash. CSRS likely would lose, but this approach would consume considerable time, and trial is less than a month away.

<sup>&</sup>lt;sup>19</sup> Dr. Stewart was evasive regarding who physically possesses the information at issue, although it seems likely that at least CSRS does. *See* CXA:1 at 260:14-17 ("[W]hat I'm telling you is that the identities of [the] individuals who participated in the pilot [study] are simply not going to be available to you."); *id.* at 260:18-22 ("Q: And to whom are they available? To you? A: I don't even know. Q: They're available to someone under your control? A: <u>Potentially, yes</u>.") (emphasis added).

context.<sup>20</sup> The Court cannot permit ECM to conduct *de facto* telephonic depositions of its customers without our participation or even disclosing whom its agent, Dr. Stewart, questioned.<sup>21</sup>

Finally, even if one considered the "manufacturer's pilot study" to be legitimate survey research rather than telephonic interviews with certain apparently cherry-picked ECM customers, there is no privilege protecting the names of such survey respondents from disclosure. The Commission's rules only protect information privileged "by the Constitution, any applicable act of Congress, or the principles of common law," Rule 3.31(c)(4), and no survey respondent privilege emanates from any of these sources.<sup>22</sup>

#### **CONCLUSION**

For these reasons, we respectfully ask the Court to grant Complaint Counsel's motion to compel ECM to produce information sufficient to establish which ECM customers provided which interview responses to Dr. Stewart's researchers.

Dated: July 8, 2014

Respectfully submitted,

Katherine Johnson (kjohnson3@ftc.gov)Jonathan Cohen (jcohen2@ftc.gov)Arturo Decastro (adecastro@ftc.gov)Elisa Jillson (ejillson@ftc.gov)Federal Trade Commission600 Pennsylvania Ave., N.W. M-8102BWashington, DC 20580Phone: 202-326-2185; -2551; -2747; -3001Fax: 202-326-2551

<sup>&</sup>lt;sup>20</sup> To the extent ECM offers not to rely on Dr. Stewart's interviews with its customers, this resolution unfairly penalizes Complaint Counsel. As discussed, the pilot study—which ECM and/or Dr. Stewart abruptly terminated—produced data that strongly favors our position, and we are entitled to rely on it.

<sup>&</sup>lt;sup>21</sup> Indeed, Complaint Counsel has no way to know whether some of the companies Dr. Stewart called were companies that Complaint Counsel also deposed.

<sup>&</sup>lt;sup>22</sup> Even if the law should be expanded to create a privilege protecting the names of individual consumers responding to surveys, Dr. Stewart supervised telephone interviews with businesses (ECM customers) ECM selected. At very most, ECM could request that the names of these customer/interview participants be treated as nonpublic information.

#### STATEMENT CONCERNING MEET AND CONFER

The undersigned counsel certifies that Complaint Counsel conferred telephonically with Respondent's counsel on July 3 regarding the issue raised herein. Respondent's counsel stated yesterday evening that Complaint Counsel should seek to subpoen CSRS rather than obtain the information at issue from ECM.

Dated: July 8, 2014

Respectfully submitted,

Katherine Johnson (kjohnson3@ftc.gov) Jonathan Cohen (jcohen2@ftc.gov) Arturo Decastro (adecastro@ftc.gov Elisa Jillson (ejillson@ftc.gov) Federal Trade Commission 600 Pennsylvania Ave., N.W. M-8102B Washington, DC 20580 Phone: 202-326-2185; -2551; -2747; -3001 Fax: 202-326-2551

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#### **CERTIFICATE OF SERVICE**

I hereby certify that on July 8, 2014, I caused a true and correct copy of the foregoing to be served as follows:

One electronic copy to the Office of the Secretary, and one copy through the FTC's e-filing system:

Donald S. Clark, Secretary Federal Trade Commission 600 Pennsylvania Ave., NW, Room H-159 Washington, DC 20580 Email: <u>secretary@ftc.gov</u>

One electronic copy and one hard copy to the Office of the Administrative Law Judge:

The Honorable D. Michael Chappell Administrative Law Judge 600 Pennsylvania Ave., NW, Room H-110 Washington, DC 20580

One electronic copy to Counsel for the Respondent:

Jonathan W. Emord Emord & Associates, P.C. 11808 Wolf Run Lane Clifton, VA 20124 Email: jemord@emord.com

Eric Awerbuch Emord & Associates, P.C. 3210 S. Gilbert Road, Suite 4 Chandler, AZ 85286 Email: EAwerbuch@emord.com Peter Arhangelsky Emord & Associates, P.C. 3210 S. Gilbert Road, Suite 4 Chandler, AZ 85286 Email: parhangelsky@emord.com

Date: July 8, 2014

Katherine Johnson (kjohnson3@ftc.gov) Jonathan Cohen (jcohen2@ftc.gov) Élisa Jillson (ejillson@ftc.gov) Federal Trade Commission 600 Pennsylvania Ave., N.W. M-8102B Washington, DC 20580 Phone: 202-326-2185; -2551; -3001 Fax: 202-326-2551

#### UNITED STATES OF AMERICA BEFORE THE FEDERAL TRADE COMMISSION

In the Matter of

ECM BioFilms, Inc., a corporation, also d/b/a Enviroplastics International

Docket No. 9358

**PUBLIC DOCUMENT** 

#### EXHIBITS IN SUPPORT OF COMPLAINT COUNSEL'S MOTION TO COMPEL DISCOVERY WRONGLY <u>WITHHELD BY DR. DAVID STEWART</u>

## **Complaint Counsel Exhibit A**



#### UNITED STATES OF AMERICA BEFORE THE FEDERAL TRADE COMMISSION

In the Matter of

ECM BioFilms, Inc., a corporation, also d/b/a Enviroplastics International Docket No. 9358 PUBLIC DOCUMENT

#### DECLARATION OF JONATHAN COHEN IN SUPPORT COMPLAINT COUNSEL'S MOTION TO COMPEL DISCOVERY DR. DAVID STEWART WRONGFULLY WITHHELD

In accordance with 28 U.S.C. § 1746, I declare under penalty of perjury that the following is true and correct:

1. I am over 18 years of age, and I am a citizen of the United States. I am employed by the Federal Trade Commission ("FTC") as an attorney in the Division of Enforcement in the Bureau of Consumer Protection. I am an attorney of record in the above-captioned matter, and I have personal knowledge of the facts set forth herein.

2. <u>Attachment 1</u> hereto is a true and correct copy of a rough transcript of the deposition of Dr. David Stewart, taken on July 1, 2014.

3. <u>Attachment 2</u> hereto is a true and correct copy of interview questions interviewers working for Dr. David Stewart apparently used when interviewing ECM customers.

4. <u>Attachment 3</u> hereto is a true and correct copy of responses to interview questions ECM customers provided, as produced by ECM to Complaint Counsel.

5. <u>Attachment 4</u> hereto is a true and correct copy of a redacted excerpt of ECM customer contact information that was apparently provided to Dr. Stewart in May, 2014.

6. <u>Attachment 5</u> hereto is a true and correct copy of Complaint Counsel's First Set of Requests for Production of Documents, dated November 27, 2013.

Executed this 8th day of July, 2014 in Washington, D.C.

Jonathan Cohen

Complaint Counsel

# Complaint Counsel Exhibit A Attachment 1



## In the Matter of:

ECM BioFilms, Inc., et al.

July 1, 2014 David Stewart, Ph.D.

Condensed Transcript with Word Index



For The Record, Inc. (301) 870-8025 - www.ftrinc.net - (800) 921-5555

		1		PUBLIC DOCUMENT	3
5	<pre>UNITED STATES DISTRICT COURT BEFORE THE FEDERAL TRADE COMMISSION In the Matter of ) ECM BioFilms, Inc., ) a corporation, also d/b/a ) Enviroplastics International ) Tuesday, July 1, 2014 10877 Wilshire Boulevard Suite 700 Los Angeles, California The above-entitled came on for investigational hearing, pursuant to Notice, at 8:54 a.m.</pre>	1	4 5 6 7 8 9 10 11 11 12 13 14	PUBLIC DOCUMENT       3         APPEARANCES       APPEARANCES         For the Federal Trade Commission:       JONATHAN COHEN, ESQ. 60 Pennsylvania Avenue, NW Washington, D.C. 20580 (202) 326-2551 jochen2@ftc.gov         BARBARA Y.K. CHUN, ESQ. 10877 Wilshire Boulevard Suite 700 Los Angeles, CA 90024 (310) 824-4343         For the Respondent:       ERIC AWERBUCH, ESQ. EMORD & ASSOCIATES, P.C. 3210 South Gilbert Road Suite 4 Chadler, Arizona 85286 (602) 388-8899 parhangelsky@emord.com         Also Present:       Shane Frederick	;
5 6 7 8 9 10 11 12 13 14 15 16 17 18 19	UNITED STATES DISTRICT COURT DEFORE THE FEDERAL TRADE COMMISSION           In the Matter of         )           ECM BioFilms, Inc.,         )           a corporation, also d/b/a         )           Enviroplastics International         )           DEPOSITION OF DAVID STEWART, Ph.D., taken on behalf of the Plaintiff, at 10877 Wilshire Boulevard, Suite 700, Los Angeles, California, commencing at 8:54 a.m., and concluding at 5:26 p.m., on Tuesday, July 1, 2014, pursuant to Notice, before CHRISTINA KIM-CAMPOS, CSR No. 12598, a Certified Shorthand Reporter, in and for the State of California.	2	3       1         4       2         5       6         6       1         7       2         8       2         9       2         10       2         11       2         12       2	I N D E X EXAMINATION PAGE MITNESS EXAMINATION PAGE Autid Stewart, Ph.D. By Mr. Cohen Atternoon Session DEPOSITION EXHIBITS INITIAL REFERENCE Stewart Deposition Exhibit No. 1 Stewart Deposition Exhibit No. 3 Stewart Deposition Exhibit No. 4 Stewart Deposition Exhibit No. 6 Stewart Deposition Exhibit No. 6 Stewart Deposition Exhibit No. 7 Stewart Deposition Exhibit No. 10 Stewart Deposition Exhibit No. 10 Stewart Deposition Exhibit No. 11 Stewart Deposition Exhibit No. 12 Stewart Deposition Exhibit No. 13 DISTIONS INSTRUCTED NOT TO ANSWER None.	
	Drall				

	5		PUBLIC DOCUMENT 7
1	LOS ANGELES, CALIFORNIA; TUESDAY, JULY 1, 2014	1	
2	8:54 A.M.	$\begin{vmatrix} 1 \\ 2 \end{vmatrix}$	Q. That this was a copy of the report that was produced to us?
3	0.54 A.W.	$\begin{vmatrix} 2\\ 3 \end{vmatrix}$	*
4	DAVID STEWART, Ph.D.,	$\begin{vmatrix} 3\\4 \end{vmatrix}$	<b>Q.</b> And it was printed out. And I'll note as
5	called as a witness by and on behalf of	5	
6	the Plaintiff, being first duly sworn,	6	
7	was examined and testified as follows:		
8			looks like that's how the printer printed them?
9	EXAMINATION	9	
10	BY MR. COHEN:		is the report that I wrote minus the minus the
11	Q. Good morning, Dr. Stewart.	11	appendises although the append ceases are identified
12	A. Good morning.	12	••• •••
13	Q. My name is Jonathan Cohen. I'm here on	13	
14	behalf complaint counsel at the Federal Trade	14	
15	Commission. I understand that you've been deposed	15	paragraph begins with the word similarly. Similarly
16	any a number of times before I won't go over all the		there have been periods where large when large
17	rules. I know you know them, but if for any reason	17	numbers of a population have believed in the
18	you do have any questions or you need a break please	18	
19	let me know.	19	actions based on such shared beliefs had not had
20	A. I will do that. Thank you.	20	happy outcomes shared beliefs among customers
21	Q. Did you personally write every word of your	21	especially when those shared beliefs have little
22	expert report in this case?	22	basis in fact or personal expertise are a poor way
23	A. I believe so yes.	23	to inform policy did I read that correctly?
24	Q. Let's mark as Exhibit 1 your expert report	24	
25	in this case. Mark Exhibit 1.	25	Q. Is policy based on shared beliefs among
	6		8
1	Q. And Professor Stewart it is the fact it is	1	consumers analogous to policies base on the Supreme
2	the case that what's been marked as Exhibit 1 is	2	
3	your expert report in this case. You can go ahead	3	• •
4	and take a look. On?	4	THE WITNESS: It's analogous in the sense
5	A. Well there's some coloring that I don't	5	that it represents beliefs. Whether it's beliefs
6	believe was in your original report.	6	about races or beliefs about particular events or
7	Q. What coloring don't you believe was in the	7	beliefs about the state of the world others we're
8	original report?	8	really talking about beliefs.
9	A. Well, there's some there's some text that's	9	
10	in some of it is in red. You know I I don't believe	10	
11	that that was in the original report so I'm not sure		would analogize to policies based on the superiority
12	where where that.		or inferiority of particular races?
13	Q. Can you?	13	
14	A. May have come from and it looks like it's	14	6
15	rather random.	15	
16	Q. It's possible there's just some eccentricity		any underlying science.
17	with your copy can you point me to a specific page that has some red on it?	17	Q. Why are shared beliefs among consumers a
18	that has some red on it?	18	<ul><li>poor way to inform policy?</li><li>A. Because consumers believe many things that</li></ul>
19 20	A. Oh, sure. Well, if you look at page 5 under scope of assignment there just a number of places		
20	where there's sort of random red, doesn't look like	$\begin{vmatrix} 20 \\ 21 \end{vmatrix}$	
21 22	you've got red so.	$\begin{vmatrix} 21\\ 22 \end{vmatrix}$	really like to call upon that in establishing
22	Q. Let me just. That may be a feature of the	22	
	printer that was used but I'll represent to you?		shared by a group of people that may have no basis
25	A. Okay.		in fact and may may in fact be wrong.
	· · · · · · · · · · · · · · · · · · ·		

	9		PUBLIC DOCUMENT 11
1	Q. Are you familiar with the FTCs Q ray	1	Q. Are shared beliefs or strike that. Why are
2	litigation?	$\begin{vmatrix} 1\\ 2 \end{vmatrix}$	-
3	A. I don't think I am.	3	policy when the shared beliefs have little basis in
4	Q. Then I'll ask you to assume that many	4	personal expertise?
5	consumers believe that magnets have medicinal	5	A. Because you're essentially asking
6	benefits do you understand the assumption I'm asking	6	individuals to offer an opinion offer a statement to
7		7	inform some action some policy that may have little
8	A. I do.	8	
9	Q. And I'll further ask you to assume that tens	9	Q. You're aware are you not that the FTC often
10	of thousands of consumers purchase magnets from a		brings cases against marketers making un
11	company that marketed them as medicinally beneficial	11	
12	do you understand that assumption as well?	12	A. I am aware that have.
13	A. I do.	13	Q. You would agree would you not that most
14	Q. When the FTC initiated litigation on behalf	14	
15	of those consumers was that poor policy in your	15	expertise in medicine correct?
16	view?	16	MR. AWERBUCH: Objection. Objection.
17	MR. AWERBUCH: Objection.	17	THE WITNESS: I would agree with that too.
18	THE WITNESS: I can't really answer that	18	
19	without additional information. The question would	19	Q. There's no requirement that consumers have
20	become one of what was the source of those beliefs,	20	personal expertise for an un substantiated medical
21	what did the company do, without more information I	21	claim to violate the FTC act is there?
22	really can't give you an answer.	22	A. No there's not.
23	BY MR. COHEN:	23	Q. And in fact people without the personal
24	Q. And what additional information would you	24	experience necessary to evaluate claims like those
25	need to be able to answer that?	25	are precisely people whom the FTC act protects isn't
	10		12
1	A. Well as indicated I I need to know what	1	it?
2	the company do, I'd need to know something about the	2	A. It's part of what the FTC act is intended to
3	underlying science, I would need to know something	3	protect that's correct that's people who not have
4	about what the what the beliefs were what the basis	4	have the expertise to evaluate a specific claim that
5	for those beliefs were.	5	was in fact factually incorrect.
6	Q. Let's assume that consumers had pre-existing	6	Q. Is it your role as an expert in this case to
7	beliefs that magnets had medicinal benefits and the	7	opine regarding what policies the commission should
8	companies marketing capitalized on those are	8	1
9	pre-existing beliefs, again given those assumptions	9	MR. AWERBUCH: Objection.
	when the FTC initiated litigation on behalf of those	10	1 5
11	consumers was that poor policy?		here is is to opine on that largely because my
12	A. Again I would need to know a lot more of the	12	8
13	facts in that particular case. How many consumers		the sense that there is a policy making component of
14	shared that belief? What was the source of those		this case as well as an issue of whether something
	beliefs, how did the company capitalize on those		is deceptively miss leading in terms of a
	beliefs.		communication so, but the policy aspect is really
17	Q. So it may be poor policy or it May not be	17	tide up very much with the communication aspect in
18	poor policy depending on the specific factors I	18	this particular case.
19	haven't give you sufficient information to make that	19	
20	judgment?	20	Q. Is the case unusual to you in any other
21	A. That's that's correct. I mean it would need	21	•
	to be more than just the fact that there were shared	22	A. Well it is somewhat unusual in the sense
23	beliefs.	23	that at the heart of the case is the definition of a
24	Q. So shared beliefs alone is not sufficient?	24	
25	A. I don't believe so.	25	ambiguous and I think absent a clear standard on

13	PUBLIC DOCUMENT 15
1 what that definition is, you know it's it's	1 case I.D. one zero zero seven six one, it will be
2 difficult to conclude people are being misled or	2 easier for you to find on Exhibit 3 A. And
3 that they're getting correct factual information.	3 specifically the response to question four. In the
4 <b>Q.</b> Do I understand your position correctly that	4 it's the second row in response to question four
5 it is difficult to conclude that anyone has been	5 reads weeks or months, did I read that correctly?
6 misled if there is no clear standard as to what a	6 A. I'm not finding where you are.
7 term means?	7 <b>Q.</b> Take a look on the far left column you'll
8 MR. AWERBUCH: Objection.	8 see a survey number one zero zero 7 six one?
9 THE WITNESS: Well I wouldn't go that far	9 A. I found that.
10 but I do think that you you cannot simultaneously	10 <b>Q.</b> And then if you go over to the response to
11 establish a standard and then apply that standard to	11 four B, excuse me response to survey question four
12 particularly a standard that's based on what people	12 it's in the middle toward the right and you'll see
13 already believe and then apply that standard as the	13 weeks or months do you see that there.
14 basis for bringing an action for deception. I mean	14 A. I do now see that yes thank you.
15 if people already believe something it's not because	15 <b>Q.</b> Would you characterize this consumers
16 it was communicated by by a marketer.	16 response as ludicrous?
17 BY MR. COHEN:	17 A. No I would not.
18 <b>Q.</b> Do you consider yourself an expert in policy	18 <b>Q.</b> Would you characterize this consumers
19 making?	19 response as absurd?
20 MR. AWERBUCH: Objection.	20 A. I would not.
21 THE WITNESS: Actually I do. I edit a	21 Q. And you coded this response correct?
22 journal in public policy in marketing.	22 A. I did.
23 BY MR. COHEN:	23 Q. And you didn't disqualify it from your
24 Q. Let's mark as Exhibit 2 obviously professor	24 survey?
25 please maintain Exhibit 1 we'll refer back to that	25 A. I did not.
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	17		PUBLIC DOCUMENT19
1	response. The individual doesn't specify a	1	on the next page the response to question four. A
2	particular interval they simply indicate weeks to	2	couple of weeks parentheses P, then the number one
3	months in both cases plural, both could be could be	3	then no, did I read that correctly?
4	perfectly reasonable beliefs from the part of an	4	A. Again I'm not finding.
5	individual. It's nonspecific. But represents what	5	Q. It's in the last row. Roughly speaking the
6	the individual believes.	6	fifth column from the right so sir if you look at
7	Q. Is it your contention this consumer may have	7	the lower left-hand corner you'll see one zero zero
8	meant more than a dozen months?	8	nine five six?
9	A. That could be the interpretation, I'm I'm	9	A. I do I've now found it I'm sorry. The type
10	not here to tell you what was in the minds of these	10	is rather small but.
11	consumers when they gave these responses. This is	11	Q. I apologize?
12	the response that they gave I think it's a	12	A. Yes, I do see the person says a couple of
13	reasonable response. But you know what they had in	13	weeks one month.
14	mind I don't know. They they clearly didn't put a	14	Q. Before I forget to ask what does that

parentheses P, mean? 15

a few. It could have been many.

been a hundred and four weeks?

probably doesn't mean two years?

MR. AWERBUCH: Objection.

gave this response.

number around weeks tore months. It could have been

Q. So in your interpretation it's it could have

A. Well anything is possible. I -- I suppose.

Again you're asking me to go beyond the data here.

I don't know what this person had in mind when they

Q. You would agree with me that weeks or months

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24 25

- 16 A. That would have been what the individual 17 probably the interviewer put a plural on it. You
- 18 know I don't know whether the respondent said a
- 19 couple week or the interviewer said a couple of
- 20 weeks but that's that's as I sit here I can't tell
- 21 you specifically.
- 22 Q. Sticking with the P for a moment if you go
- 23 over on row left maybe three large subsidiaritive
- 24 entries there's one that says so that we can leave a
- 25 cleaner earth for our children. I don't use plastic
  - 20

	18		20
1	A. I would agree that in most cases that's	1	bags I use paper and I recycle. P, no do you see
2	probably correct bull gean we're going beyond the	2	that?
3	data here.	3	A. Yes.
4	Q. The data does say weeks or months correct?	4	Q. That does don't indicate plural there could
5	A. That's exactly what it says.	5	it?
6	Q. And the most plausible interpretation of	6	A. Oh no actually actually you ask me now now I
7	weeks or months would be some period of time less	7	now I know what this is. That's not a that's not an
8	than a year correct?	8	S on the that the earlier thing you asked me about.
9	MR. AWERBUCH: Objection.	9	That's a P, and the and that stands for probe. And
10	THE WITNESS: That is a plausible	10	the same is true in the P for the one you just asked
11	interpretation but it is an interpretation.	11	me about. That would be a probe, anything else.
12	BY MR. COHEN:	12	Q. And what do you mean by probe?
13	Q. You didn't strike that you coded their	13	A. It would have been a question much as I just
14	response correct?	14	used, anything else.
15	A. I certainly did.	15	Q. So returning to one zero zero nine five six,
16	Q. And you coded it as being less than a year?	16	which states a couple of weeks before the probe,
17	A. I don't recall exactly how I would have	17	would you characterize that consumers response as
18	coded this it probably would have initially been	18	
19	coded as weeks to months. I did not make an effort	19	A. No I would not.
20	1 1	20	Q. Would you characterize that consumers
21	values unless a numeric value was provided.	21	response as absurd?
22	Q. You didn't disqualify from your survey did	22	A. I would not.
23	you?	23	Q. And you coded this response correct?
24	A. I did not.	24	A. I certainly did.
25	Q. I direct you to one zero zero nine five six	25	Q. And you didn't disqualify from the survey?

10

**CX-A:1** (Pages 17 to 20)

<ol> <li>A. I did not.</li> <li>Q. Let's go to case number one zero zero nine three seven response to question four which is in the second row the fifth column from the right. A. Yes., You did.</li> <li>Q. Would you characterize this consumers response as ludicrous?</li> <li>A. No I would not.</li> <li>Q. You coded this response correct?</li> <li>A. I did.</li> <li>Q. You didn't disquality from your survey?</li> <li>A. I did.</li> <li>Q. You coded this response correct?</li> <li>A. I did not.</li> <li>Q. You coded this response as absurd?</li> <li>Q. You coded this response correct?</li> <li>A. I did not.</li> <li>Q. You didn't disquality from your survey?</li> <li>A. I did not.</li> <li>Q. You didn't disquality from your survey?</li> <li>A. I did not.</li> <li>Q. You didn't disquality from your survey?</li> <li>A. I did not.</li> <li>Q. You didn't disquality from your survey?</li> <li>A. I did not.</li> <li>Q. You didn't disquality from your survey?</li> <li>A. I did not.</li> <li>Q. You didn't disquality from your survey?</li> <li>A. A gain you'll have to tell me where you arc.</li> <li>Q. The third row 1 believe as with the teresponses. Have I understood that</li> <li>Correctly?</li> <li>A. A gain you'll have to tell me where you arc.</li> <li>Q. The third row 1 believe as off means and absurd?</li> <li>A. I dia sout on tev bur fer four the response redictions and absurd?</li> <li>A. I dia sout on tev bur there four five or so from</li> <li>t heright you seeps correct?</li> <li>d you dia characterize this consumers</li> <li>G. You coded this response correct?</li> <li>A. I did not.</li> <li>Q. Would you characterize this consumers</li> <li>G. You code this response se of redictions and absurd?</li> <li>A. I did not.</li> <li>Q. Would you characterize this consumers</li> <li>G. You coded this response correct?</li></ol>	21	
3       three server response to question four which is in the second row the fifth column from the right. A       3       A. Yes, you d.d.         4       Q. Would you Characterize this consumers       5       response as ludicrons?         6       A. Yes.       6       A. No I would not.         7       Q. Would you characterize this consumers       7       Q. Would you characterize this consumers         8       response as budicrons?       6       A. No I would not.         9       A. No I would not.       0. Would you characterize this consumers         11       A. I did.       0. You coded this response correct?         12       A. I did.       0. You coded this response correct?         13       Q. You didn't disqualify from your survey?       13       A. I did not.         10       Probably two weeks did I read that       10       Correctly?         12       A. I did not.       10       11       that you characterize and has ot that         12       orrectly?       3       A. I do see fifty our brief or on fifty or so for gones is absurd?         14       M. I do see thary cos.       2       1       that so cansand thar yere and that you so fifty on gone sore so fifty on so sore so for this consoumers      <	1 A. I did not.	1 <b>Q.</b> This consumer responded within a couple of
<ul> <li>4 the second row the fifth column from the right.</li> <li>A. Yes.</li> <li>Q. Would you characterize this consumers</li> <li>response as ludicrous?</li> <li>A. No I would not.</li> <li>Q. Would you characterize this consumers</li> <li>response as absurd?</li> <li>A. No I would not.</li> <li>Q. You coded this response correct?</li> <li>A. I did not.</li> <li>Q. You didn't disqualify from your surve?</li> <li>A. I did not.</li> <li>Q. You didn't disqualify from your surve??</li> <li>A. I did not.</li> <li>Q. You didn't disqualify from your surve??</li> <li>A. I did not.</li> <li>Q. You didn't disqualify from your surve??</li> <li>A. I did not.</li> <li>Q. You didn't disqualify from your surve??</li> <li>A. I did not.</li> <li>Q. Tor udidn't disqualify from your surve??</li> <li>A. I did not.</li> <li>Q. Tor udidn't disqualify from your surve??</li> <li>A. I did not.</li> <li>Q. Tor udidn't disqualify from your surve??</li> <li>A. I do sce five one seven the fight.</li> <li>You may need to skip ahead an additional page to get third row again and response to question for five or so for which is about on two three four five or so for five or so for five or so for five or so for which is about on.</li> <li>Q. Would you characterize this consumers</li> <li>Q. Would you characterize this consumers</li> <li>Q. You didn't disgnalify if from your survery</li> <li>A. I did soc.</li> <li>Q. You didn't disgnalify if from your survery</li> <li>A. I did soc.</li> <li>Q. You didn't disgnalify if from your survery</li> <li>A. I did not.</li> <li>Q. You didn't disgnalify if from your survery</li> <li>A. I did not.</li> <li>Q. You didn't disgnalify if from your survery</li> <li>A. I did not.</li> <li>Q. You didn't disgnalify if from your survery</li> <li>A. I did not.</li> <li>Q. You didn't disgnalify if from your survery</li> <li>A. I did not.</li> <li>Q. Yo</li></ul>	2 Q. Let's go to case number one zero zero nine	2 days did I read that correctly?
5       couple of weeks did I will read that correctly?       5       response as ludicrous?         6       A. Yes.       6       A. No I would not.         7       Q. Would you characterize this consumers       7       Q. Would you characterize this consumers         8       response as haburd?       9       A. I would not.         10       Q. Would you characterize this consumers       1       A. I would not.         11       A. I did.       1       A. I did not.         12       Q. You didn't disqualify from your surve?       1       A. I did not.         13       Q. You didn't disqualify from your surve?       1       A. I did not.         14       A. L did not.       10       Q. You didn't disqualify from your surve?         15       Q. You didn't disqualify from your surve?       1       A. I did not.         12       C. Tag bit for own from ther fight.       10       10       G. Lat's go to one zero zero five one seven fight.         16       that you characterize this consumers       12       C. You didn't disqualify from your surve?         13       A. I did not.       12       C. Tag hold't as that week sere field in a seven the so that         17       would be the bottom row in this instance. One zero zero actroally let wee seven?       24	3 three seven response to question four which is in	
<ul> <li>A. Yes.</li> <li>Q. Would you characterize this consumers</li> <li>Response as ludicrous?</li> <li>A. I would not.</li> <li>Q. Would you characterize this consumers</li> <li>Response as absurd?</li> <li>A. I did not.</li> <li>Q. You coded this response correct?</li> <li>A. I did not.</li> <li>Q. Let's go to one zero zero five one seven the response to question to which is in the right.</li> <li>Probably two weeks did I read that</li> <li>correctly?</li> <li>A. Again you'l have to tell me where you are.</li> <li>A. Again you'l have to tell me where you are.</li> <li>To five one seven?</li> <li>A. I do see five one seven.</li> <li>You may need to skip ahead an additional page to get to third row again and response to question to five one seven.</li> <li>You may need to skip ahead an additional page to get to third row again and response to question four of which is about one two three four five or so from rot when is about one two three four five or so from rot when is about one two three four five or so from rot when is about one two three four five or so from rot when is about one two weeks.</li> <li>A. I do see that yes.</li> <li>Q. Would you characterize this consumers</li> <li>A. I do see that yes.</li> <li>Q. Would you characterize this consumers</li> <li>A. I do see that yes.</li> <li>Q. Would you characterize this consumers</li> <li>A. I do additorous?</li> <li>A. I do addit discualify it from your survey</li> <li>A. I did not.</li> <li>Q. You didn't disqualify it from your survey</li> <li>A. I doid not.</li> <li>Q. You didn't disqualify it from your survey</li> <li>A. I did not.</li> <li>Q. You didn't disqualify it from your survey</li> <li>A. I did not.</li> <li>Q. You didn't disqualify it from your survey</li> <li>A. I did not.</li> <li>Q. You didn't disqualify it from your survey</li> <li>A. I did not.</li> <li>Q. You didn't disqualify it from your survey</li> <li>A. I did not.</li> <li>Q. You didn't disqualify it from your survey that are level, that are tapsonse as haburd?</li> <li>A. I did</li></ul>	4 the second row the fifth column from the right. A	4 Q. Would you K characterize this consumers
<ul> <li>7 Q. Would you characterize this consumers</li> <li>8 response as huldrous?</li> <li>9 A. No I would not.</li> <li>10 Q. Would you characterize this consumers</li> <li>11 response as absurd?</li> <li>2 A. I would not.</li> <li>2 A. I would not.</li> <li>2 A. I would in this response correct?</li> <li>1 A. I did not.</li> <li>10 Q. You coded this response correct?</li> <li>11 A. I did not.</li> <li>12 Q. You coded this response correct?</li> <li>13 Q. You coded this response correct?</li> <li>14 A. I did not.</li> <li>10 Probably two weeks did I read that</li> <li>21 correctly?</li> <li>22 A. Again you'l have to tell me where you are.</li> <li>23 Q. The third row I believe and the so that</li> <li>24 would be the bottom row in this instance. One zero:</li> <li>25 zero actually let me, did I call out five one seven.</li> <li>24 1 you may need to skip ahead an additional page to get</li> <li>25 to third row again and response to question form the right.</li> <li>24 A. I would not.</li> <li>22 A. Again you'l have to tell me where you are.</li> <li>25 zero actually let me, did I call out five one seven.</li> <li>26 A. I did sol.</li> <li>27 A. Bot scorect.</li> <li>28 A. I do see five one seven.</li> <li>29 A. U hok score to response.</li> <li>20 Would you characterize this consumers</li> <li>21 you may need to skip ahead an additional page to get so third row again and response to guestion form the right row again and response to guestion form the right you see probably two weeks.</li> <li>20 Would you characterize this consumers</li> <li>21 A. I would not.</li> <li>22 W. Would you characterize this consumers</li> <li>31 A. I would not.</li> <li>22 Would you characterize this consumers</li> <li>32 R. A I do see that yes.</li> <li>33 A. I do see that yes.</li> <li>34 A. I would not.</li> <li>35 a Creoding of these, he converts two minutes, two</li> <li>36 Would you characterize this consumers</li> <li>37 R. I did not.</li> <li>38 A. You said a fase things there first of all if</li> <li>39 A. I did not.</li></ul>	5 couple of weeks did I will read that correctly?	5 response as ludicrous?
<ul> <li>8 response as laburd?</li> <li>9 A. No I would not.</li> <li>10 Q. Would you characterize this consumers</li> <li>11 response as absurd?</li> <li>12 A. I would not.</li> <li>13 Q. You coded this response correct?</li> <li>14 A. I did.</li> <li>15 U. You didhu' disqualify from your survey?</li> <li>16 A. I did not.</li> <li>17 Q. Let's go to one zero zero five one seven the</li> <li>18 response to question to question 4 which is in the</li> <li>19 third row fifth column from the right.</li> <li>20 Probably two weeks did I read that</li> <li>21 correctly?</li> <li>22 A. Again you'll have to tell me where you are.</li> <li>23 Q. The third row I believe and the so that</li> <li>24 would be the bottom row in this instance. One zero</li> <li>25 zero actually let me, did I call out five one seven.</li> <li>24 you may need to skip ahead an additional page to gt</li> <li>25 to five one seven?</li> <li>26 A. I also see the vous?</li> <li>27 A. I also see that yes.</li> <li>20 Would you characterize this consumers</li> <li>21 response as hourd?</li> <li>22 A. That's correct.</li> <li>23 Q. Would you characterize this consumers</li> <li>23 A. I do see five one seven.</li> <li>24 Nould not.</li> <li>25 to third row again and response to question four</li> <li>26 Would you characterize this consumers</li> <li>27 response as hourd?</li> <li>28 A. I did not.</li> <li>29 Would you characterize this consumers</li> <li>21 response as hourd?</li> <li>22 A. I also see that yes.</li> <li>31 A. I would not.</li> <li>32 Q. On the correct page it should be the last of</li> <li>33 A. I did not.</li> <li>34 A. I did not.</li> <li>35 Q. You coded this response correct?</li> <li>34 A. I would not.</li> <li>35 Co third row again and response correct?</li> <li>34 A. I would not.</li> <li>35 Q. You didn't disqualify if from your survey</li> <li>34 A. I would not.</li> <li>35 Q. You didn't disqualify if from your survey</li> <li>35 do third not.</li> <li>36 A. I did not.</li> <li>37 Q. On the correct page it should be the last of</li></ul>	6 A. Yes.	6 A. No I would not.
<ul> <li>9 Å. No I would not.</li> <li>10 Q. Would you characterize this consumers</li> <li>11 response as absurd?</li> <li>12 A. I would not.</li> <li>12 A. I would not.</li> <li>13 Q. You coded this response correct?</li> <li>14 A. I did not.</li> <li>15 Q. You didn't disqualify from your survey?</li> <li>15 A. I did not.</li> <li>16 that you characterized response to question to the right.</li> <li>20 Would you characterize this consumers</li> <li>21 you may need to skip ahead an additional page to get to vo again ad response to question to wo three four five or so from the right.</li> <li>22 Q. Would you characterize this consumers</li> <li>23 response as budicrous?</li> <li>24 Nould you?</li> <li>24 Nould you?</li> <li>24 n</li></ul>	7 <b>Q. Would you characterize this consumers</b>	7 <b>Q. Would you characterize this consumers</b>
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25   A. Uh-huh.     25   informed response. Weeks again, weeks could be a	24 row. Again the fifth column from the right.	

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**CX-A:1** 0 (Pages 21 to 24)

**PUBLIC DOCUMENT** 

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	perfectly appropriate response if if if there's a		restriction coding decision being absurd it says
	number on the front of it and it makes sense then it		that the responses are absurd correct?
	could be a reasonable response. It is not a		A. It talks about the erroneous coding of
	reasonable substitute for half a year however.		1
	Neither neither is it a statement of of a fact.	5	Q. So it's the responses that are being
	It's a statement of a belief.	6	characterized as absurd?
-	BY MR. COHEN:	7	MR. AWERBUCH: Objection.
8	Q. So I understand, if I understand you		THE WITNESS: The responses and the way
9 10	correctly and correct me if I'm wrong, you're saying that it's not the weeks or days that's ludicrous and	9	they're being coded yes. BY MR. COHEN:
10	absurd but the fact that Professor Frederick coded	10	Q. If you go up about three lines there's a
11	weeks or days as half a year that's what you're		sentence that begins by counting such ludicrous
12	contending it absurd?	12	responses and then the sentence goes on. That's a
13	MR. AWERBUCH: Objection.		reference to the responses being ludicrous correct?
15	THE WITNESS: Well no I'm also contending	15	A. That's correct.
16	that some using some of these responses in and of	16	Q. If you go to the fourth line from the bottom
17	themselves is is also ludicrous I mean one second	17	
18	one nano second I mean these are just absurd	18	of coding absurd responses and then it goes on.
	ludicrous responses but they become even more	19	That's a reference to the responses being absurd
20		20	
21	coded as half a year.	21	A. That's correct.
22	Q. Let's stick for a moment for weeks.	22	Q. You understand this report will be publicly
23	Specifically with respect to weeks was it ludicrous	23	filed in this case correct?
24	for Professor Frederick to code a response of weeks	24	A. I assume it will be correct.
25	as half a year.	25	Q. None of the respondents in your survey were
	26		28
1	THE WITNESS: Yes.	1	informed prior to agreeing to participate that their
2	BY MR. COHEN:	$\begin{vmatrix} 1\\2 \end{vmatrix}$	responses would be made public were they?
3	Q. And why do you say that?	$\begin{vmatrix} 2\\ 3 \end{vmatrix}$	MR. AWERBUCH: Objection.
4	A. Because two weeks is not half a year. It's	4	THE WITNESS: They were not informed that
5	factually incorrect.		their responses would be made public they were
6	Q. Two weeks is a shorter period of time than		informed that their responses would be would not be
7	half a year isn't it?		individually identifiable.
8	A. Much shorter.		BY MR. COHEN:
9	Q. So to the extent that Professor Frederick	9	Q. None of the respondents in your survey were
10	coded two weeks as half a year that's a result of	10	informed prior to agreeing to participate that their
11	favor see as isn't it?	11	responses would be made public and potentially
12	MR. AWERBUCH: Objection.	12	characterized as absurd or ludicrous were they?
13	THE WITNESS: No I don't think it favors at	13	A. No and I wouldn't have been able to do that
14	all. It's it is simply a failure to code what the		because I, I meant first of all as I've indicated in
	individual actually said. In contrast to what I		my own survey I haven't characterized as offering
16	did, which was to actually code what people actually	16	1
17	had to say, this is a distortion of the data.	17	have been able to do so in advance because I didn't
18	BY MR. COHEN:	18	know what they were going to say.
19	Q. Let's look at the first sentence in the	19	Q. You certainly could have characterized them
20	first full paragraph. This erroneous coding of	20	one way or the other after you knew what they'd said.
21	absurd responses is not the only reason Professor Frederick fails to report his results accurately	21 22	A. Well I coded them. I didn't characterize
22	diread that correctly?	22	them, I coded them as what what they said. It's
<i></i> J		1.1	mont, i coucu mont as what what they salu. It s
24	-		
24 25	<ul><li>A. You did.</li><li>Q. It doesn't say anything about professor fred</li></ul>	24 25	very typical way of handling verbatim responses to open ended questions.

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1	Q. And for instance, several days is in	1	irrespective of whether they were coded
2	Professor Frederick's data set is characterized in	$\begin{vmatrix} 2 \\ 2 \end{vmatrix}$	inappropriately or not, I would still think that one
3	your report as ludicrous but you would not	3	
4	characterize it in your report as ludicrous?	4	
5	MR. AWERBUCH: Objection.	5	that's what the person said. What I do have a
6	THE WITNESS: No because I'm using the terms	6	problem with is the way that it is treated as though
7	in very different ways. What I'm reporting is what		it is a factual statement. It is not and it's a
8	people believe. I'm not trying to use their	8	fairly for some of these it's fairly bizarre
9	responses to generate a factual statement about	9	statements of fact.
10	biodegrade bilt. I'm not trying to convert it into	10	
11	some sort of numeric code that is beyond what the	11	Q. You would agree that the portrayal of a
12	individual offered.		survey respondents response as ludicrous or absurd
13	BY MR. COHEN:	13	
14	Q. That's what's referenced to professor fred		in a negative light correct?
	restriction decision to code such responses as half	15	MR. AWERBUCH: Objection. On.
16	a year. The question I'm asking has to do with	16	THE WITNESS: It certainly is a
17	whether someone who responded to your survey with a	17	•
18	two week response was giving a ludicrous response	18	
19	regardless of how it was coded?	19	those things I suppose could be characterized as
20	A. No there's a difference in the way the data	20	
21	are being used. I'm simply reporting what people	21	BY MR. COHEN:
22	said they believe. I'm not making any value	22	Q. You're on the loyal mayor mount faculty
23	judgment about whether it has in fact. Professor	23	ticurrently?
24	Frederick is apparently using these responses in	24	A. Iam.
25	what I would call a ludicrous fashion and that is as	25	Q. Did the loyal mayor institutional review
	30		32
1	a representation of fact. And then converts it into	1	board approve the study that we're discussing?
2	an even more ludicrous code that corresponds in some	2	A. No, they did not.
3	cases but not all, to to to a fraction of a year.	3	Q. How many expert reports have you written?
4	Q. With respect to the two references to the	4	A. Over 25 years probably, well let me let me
5	word phrases absurd responses and one to ludicrous	5	
	responses, do any of those refer to the manner in		of litigation or do you mean all all expert reports.
7	which Professor Frederick lect would to code his	7	Q. That's a fair question. Any expert report
8	responses?	8	
9	A. Absolutely.	9	A. Probably close to a hundred.
10	Q. Explain what you mean?	10	Q. Prior to this case have you ever prepared an
11	A. It goes to how he's using this data. He is	11	expert report in which you characterized a response
12	not merely reporting this is what people said. He's	12	of a consumer you studied as absurd?
13	he is he is basically using it as a statement of	13	A. Yes.
14	fact that he's then transforming into another	14	Q. How often have you done that?
15	statement of fact. You know. If all he had done	15	A. Not not very often most of the work that I
16	was to simply report the responses and not attempt	16	see is actually pretty good work but I I have
17	to transform them into something that they're not	17	seen surveys that I thought were poorly organized
18	then I would have taken them at face value. Some I	18	poorly implemented poorly designed and where some of
19	still would think are ludicrous and absurd.	19	the responses I would have characterized as absurd.
20	Q. And which ones do you think are ludicrous	20	Q. Prior to this case you've already prepared
21	and absurd?	21	expert reports in which you characterize responses
22	A. I wasn't finished.	22	of consumers you've studies as ludicrous?
22	MR. AWERBUCH: Please let him answer the	23	MR. AWERBUCH: Objection.
23			-
23 24 25	question. THE WITNESS: What I was going to say was	24	THE WITNESS: Quite possibly I don't have a particular recollection.

33	PUBLIC DOCUMENT 35
1 BY MR. COHEN:	1 <b>Q.</b> If you saw such evidence would you change
2 Q. In which cases did you characterize	2 your view as to whether or not that response was
3 consumers survey respondents responses as absurd?	3 absurd?
4 A. I don't really have a recollection as I sit	4 A. I might. I might not.
5 here today of what specific word I may have used in	5 Q. And how would you decide whether you would
6 connection with a particular case.	6 or would not change your view?
7 Q. Let's go to what I believe has been marked	7 MR. AWERBUCH: Objection.
8 as Exhibit 3, not three A, which is the larger data	8 THE WITNESS: Well I actually think that we
9 set. And I direct you to the very first entry which	9 need to have a better understanding of what this
10 is case I.D. zero zero zero zero three and	10 respondent was talking about in addition to whatever
11 specifically the third text entry over on that row	11 other facts you wish to present.
12 that consumer made the following remark regarding	12 BY MR. COHEN:
13 buy oh degradation, I think it's what I told you.	13 Q. Assume this respondent was talking about
14 It dissolves like those package 53 nuts are made of	14 starch peanuts where yous toed them in the water?
15 rice or rice products or corn state your full name I	15 MR. AWERBUCH: Objection.
16 know it's a product that will dissolve and doesn't	16 THE WITNESS: How were theys toed into the
17 have to end up in our land fills did I read that	17 water. I mean we don't have a complete
<ul><li>18 correctly?</li><li>19 A. You did.</li></ul>	18 understanding of what what this individual is
	<ul><li>19 talking about. This is what the person said. It's</li><li>20 a perfectly reasonable response to give, is it</li></ul>
<ul> <li>20 Q. The consumers understanding of</li> <li>21 biodegradation appears to be dissolution here</li> </ul>	21 possible that under some some circumstances that
21 biologicalition appears to be dissolution here 22 correct?	22 individual meant that it would dissolve in a second?
23 A. That's what they said here.	23 Maybe so. Is it possible that under some
24 <b>Q.</b> Consumer gives the example of corn starch	24 circumstances it could dissolve in one second maybe
25 packing 53 nuts correct?	25 so. We don't know that from what the individual has
34	36
	1 said here. In fact when the individual was asked
<ol> <li>A. Correct.</li> <li>Q. Corn starch packing peanuts dissolve in a</li> </ol>	2 about time quite specifically they said I have no
3 second or two in water correct?	3 idea I can't even guess.
4 MR. AWERBUCH: Objection.	4 MR. AWERBUCH: Can we go off the record for
5 THE WITNESS: I think they can yes.	5 a second. I'd like to take a five-minute break if
6 BY MR. COHEN:	6 that's okay.
7 Q. If a consumer terms biodegradation to mean	7 MR. COHEN: We've only been going for half
8 dissolution why is a second or two an absurd	8 an hour do you need to use the restroom or.
9 response?	9 MR. AWERBUCH: Yeah.
10 MR. AWERBUCH: Objection.	10 MR. COHEN: We can go off the record.
11 THE WITNESS: Because it is simply even too	11 (Recess)
12 short for the dissolution process to occur and	12 (A discussion was held off the record.)
13 there's no context around it.	13 BY MR. COHEN:
14 BY MR. COHEN:	14 Q. Let's go back on the record. Dr. Stewart,
15 Q. Do you know how long the dissolution process	15 did you speak with your counsel during the break?
16 takes to occur?	16 A. No.
17 A. I do not.	17 <b>Q.</b> Did you communicate with anyone representing
	18 ECM ECM during the break?
18 Q. How do you know that it's too short for the	0
19 dissolution solution process to occur then?	19 A. No, I did not.
<ul> <li>19 dissolution solution process to occur then?</li> <li>20 MR. AWERBUCH: Objection.</li> </ul>	<ol> <li>A. No, I did not.</li> <li>Q. Let's return to where we left off. We were</li> </ol>
<ol> <li>dissolution solution process to occur then?</li> <li>MR. AWERBUCH: Objection.</li> <li>THE WITNESS: Because I have seen no</li> </ol>	<ol> <li>A. No, I did not.</li> <li>Q. Let's return to where we left off. We were</li> <li>talking about a consumer that might believe that</li> </ol>
<ol> <li>dissolution solution process to occur then?</li> <li>MR. AWERBUCH: Objection.</li> <li>THE WITNESS: Because I have seen no</li> <li>evidence that would suggest that one second is</li> </ol>	<ol> <li>A. No, I did not.</li> <li>Q. Let's return to where we left off. We were</li> <li>talking about a consumer that might believe that</li> <li>dissolution of a starch based packing peanuts was</li> </ol>
<ul> <li>dissolution solution process to occur then?</li> <li>MR. AWERBUCH: Objection.</li> <li>THE WITNESS: Because I have seen no</li> <li>evidence that would suggest that one second is</li> <li>sufficient time for that cycle of dissolution to</li> </ul>	<ul> <li>19 A. No, I did not.</li> <li>20 Q. Let's return to where we left off. We were</li> <li>21 talking about a consumer that might believe that</li> <li>22 dissolution of a starch based packing peanuts was</li> <li>23 what was meant by biodegradation. Is that your</li> </ul>
<ol> <li>dissolution solution process to occur then?</li> <li>MR. AWERBUCH: Objection.</li> <li>THE WITNESS: Because I have seen no</li> <li>evidence that would suggest that one second is</li> </ol>	<ol> <li>A. No, I did not.</li> <li>Q. Let's return to where we left off. We were</li> <li>talking about a consumer that might believe that</li> <li>dissolution of a starch based packing peanuts was</li> </ol>

	37		PUBLIC DOCUMENT39
1	Q. And if I understand you correctly I mean	1	ask what is it what does it mean now, well I don't
2	- • •	2	know. Because the person wasn't wasn't actually
3	incorrect. It could be absurd but it might not be	3	asked the question.
4		4	Q. Do you know whether anyone was asked the
5	A. I mean anything is possible.	5	question if a package is labeled buy oh degradable
6		6	how long will it take to decompose?
7		7	A. I believe they were.
	understood biodegradation to mean the dissolution of	8	Q. So someone was in fact asked that question?
9		9	A. They they were asked that question. They
10		10	
11	MR. AWERBUCH: Objection.	11	decompose. To completely decompose. I mean those
12	THE WITNESS: It would not be a absurd	12	are different questions.
13		13	Q. Do you understand that my question is if
14		14	
15		15	asked, and they had interpreted biodegradation in
16			the context of that particular question that was
17	Q. Assume that a consumer is asked the question	17	actually asked to mean the commencement of
18		18	biodegradation rather than the completion, would a
19		19	second or two be an absurd response in that
20	-	$\begin{vmatrix} 1 \\ 20 \end{vmatrix}$	-
20	biodegradation process not the completion of the	$\begin{vmatrix} 20\\21 \end{vmatrix}$	MR. AWERBUCH: Objection.
21		$\begin{vmatrix} 21\\22 \end{vmatrix}$	THE WITNESS: I believe that it would
23	A. I do.	$\begin{vmatrix} 22\\23 \end{vmatrix}$	generally be an absurd response because I don't
23		$\begin{vmatrix} 23\\24 \end{vmatrix}$	think that's what people typically think about when
25			they think about biodegradation. They don't think
		25	40
	38		
1	e e e e e e e e e e e e e e e e e e e	1	about the start process and if you want to know
2	A. That's certainly possible.	2	about how quickly will it start ask that question.
3	Q. Do you know whether certain materials begin	3	Then it's perfectly appropriate. But it's it's a
4	v 8 8 v		complete distortion of any data to to begin to
5	MR. AWERBUCH: Objection.	5	speculate about what an individual might have meant,
6		6	by a response based on an interpretation that was
7	some may under some circumstances.	7	not explicit in the question.
8		8	BY MR. COHEN:
9	<b>Q.</b> Given the assumption that a consumer	9	Q. You didn't recall calculate any of Dr. Fred
10	interprets biodegradation to mean the beginning of		restriction survey is to see how the results would
11		11	
12	1 / 1		excluded did you?
	in that circumstance?	13	A. I didn't do that specific computation. I
14	1	14	1
15	Q. And request is it an absurd question?	15	eliminate a lot of the absurd responses. Yes, I did
16	•		do some yes, I did do that.
17		17	Q. And what were the results of those
	they will give they might give a response that is		computations?
	sense cal, but now now we're asking now we're	19	A. Off the top of my head my recollection is
20	reinterpreting biodegradability to mean the	20	1
21		21	including those he did not code. The don't knows
	even say in the middle I mean if that's what you	22	the depends write which I think are perfectly
	want to ask ask that question but don't attempt to	23	reasonable responses and should be included in any
24	take a statement out of context and put it into the	1 24	computation percentages and and my recollection is

- 24 take a statement out of context and put it into the
- 25 context of another question that was not asked. And

**CX-A:1** 10 (Pages 37 to 40)

24 computation percentages and and my recollection is

25 that almost 40 percent of the responses in his

,	41		PUBLIC DOCUMENT43
1	various surveys were not coded. We really we really	1	responsive, and and appropriate in the context.
2	need to include them. My recollection is that those	2	Consumer surveys, I believe my expertise qualifies
3	that were I think less than I think less than a day	3	me to to make those judgments and as I said they can
4	a day or less were about 3 percent of the responses.	4	accept the response for what it is. You have to be
5	I think those were less than a month were about 13	5	very careful about imbuing it with any meaning
6	percent of the responses. I do know that of the	6	beyond what's actually there.
7	total responses, about little over 18 percent were	7	Q. There's the line between a reasonable but
8	responses between 30 days, more than 30 days and a	8	factually erroneous response and a factually
9	year, which was about the same percentage as the	9	erroneous response that's too unreasonable or too
10	responses of five years or or more. Now, that's	10	absurd to be coded?
11	based on my computation based on his data and I	11	A. I wouldn't draw a bright line.
12	readily admit I don't fully understand all of the of	12	MR. AWERBUCH: Objection.
13	the data, but that's my rough computation.	13	THE WITNESS: What I would be inclined to do
14	Q. What don't you understand about the data?	14	5 5
15	A. Well it's it's pretty messy data and I have	15	everything as it was stated. I would not go beyond
16	not gone through and tried to make a complete	16	the data and start making assumptions about things
17	determination of how the how the data was	17	people meant that are that are simply not in the
18	constructed I've tried as best I can but I mean I	18	data and in some cases are completely in consistent
19	got the CONCATTENATED data late on Friday so I	19	with the data.
20	haven't had a lot to do a lot with it.	20	BY MR. COHEN:
21	Q. You've discussed some consumers under some	21	Q. Why wouldn't you draw a line between
22	circumstances their responses might be characterized	22	reasonable and factually erroneous and too
23	as absurd but with respect to those specific	23	unreasonable?
	responses how do you ascertain whether a consumers	24	A. Because I think it would be difficult to
25	response is absurd enough to be disregarded?	25	establish a hard and fast criteria. I think you
	42		44
1	MR. AWERBUCH: Objection.	1	could come up with some rules but there would still
2	THE WITNESS: Well there are two ways to do	2	be a certain amount of subjectivity that would be
3	it. I mean one is you actually don't have to	3	involved.
4	disregard it. You could you could September it and	4	Q. Adopting a rule in which you code every
5	code it as for what it is. But you wouldn't use it		response avoids having to draw that type of
6	necessarily in a computation. In the other case you	6	subjective line correct?
7	could simply make a judgment as a well trained		A. Well maybe and maybe not. It depends on how
8	professional coder would often do that a particular		it's coded. I mean if you're actually coding the
10	response really didn't make any sense in the context	9	response as opposed to transforming it to give it
10		10	different meaning then I think that's okay. The
11	and choose to eliminate it. That would be made by	11	problem becomes one of transforming the actual
12	that would be a decision made by a professional	12 13	<ul><li>response into something that may not be.</li><li>Q. You criticized Dr. Frederick for coding</li></ul>
13	coder whose job it is to do editing of data sets and		· · · · · · · · · · · · · · · · · · ·
14 15	I would expect that that individual would be blind the purpose of the study so that the purpose of the	14 15	extremely low numbers correct? A. I'm not sure what you mean.
15	study had no impact on the decision on whether to	15	MR. AWERBUCH: Objection.
17	use a particular data point or not.	17	THE WITNESS: By low numbers.
18	BY MR. COHEN:	18	BY MR. COHEN:
19	Q. What qualifies you or any of the researchers	19	Q. Seconds.
20	that worked for you to make judgments as to whether	$\begin{vmatrix} 1 \\ 20 \end{vmatrix}$	A. I do.
20	a consumers response to a biodegradation time	20	<b>Q.</b> Do you have any understanding one way or the
21	question is too absurd to be coded?	$\begin{vmatrix} 21\\22 \end{vmatrix}$	other as to whether Dr. Frederick also coded
22	A. I have spent 30 almost 40 years now engaged	23	extremely high numbers?
	in doing consumer research. I think I have an	24	A. I believe he did.
	understanding of responses that are meaningful	25	Q. Is one trillion years an absurd response to
			C. Is the company of an about a response to

Q. Is one trillion years an absurd response to **CX**(Pages 41 to 44)

	45		PUBLIC DOCUMENT 47
1	a question regarding biodegradation response?	1	long did you?
2	A. I think it's an unusual I would put it in	2	A. No, I did not.
3	the category of absurd yes. I would note however	3	Q. Let's back up for a moment to the person who
4	that part of his coding rule also included coding	4	gave the packing peanuts response that suggested an
5	things like eternity and giving that a number. I	5	understanding of biodegradation that is something
6	suppose a trillion years is roughly equivalent to	6	that might also be considered dissolution do recall
7	eternity, so that might be completely consistent	7	that?
8	with his coding scheme.	8	A. I do.
9	Q. Did you evaluate the effect that coding	9	Q. Let me direct to you what I believe is
10	extremely high numbers have on Dr. Frederick's data?		Exhibit 2 and I apologize if I got this wrong but
11	A. Not explicitly. It I mean it certainly		Exhibit 2 should be some screen shots?
12	would increase any mean that you might compute. But	12	A. And I direct you can specifically to Ssix.
13	I haven't done that analysis explicitly.	13	That's a screening question that asks potential
14	Q. It wouldn't be an appropriate coding rule	14	
15	would it to code extreme highs but not extreme lows	15	what the term buy degradable means did I read that
16			correctly.
17	MR. AWERBUCH: Objection.	17	A. Yes you did.
18	THE WITNESS: There may be circumstances	18	Q. By virtue of the fact that the packing
19 20	where you would do this, I think you could I mean there's a very common approach to analysis of data	19 20	peanuts response appears in the data set we know don't we that the consumer who gave that response
20	called trimming where you would eliminate the very	20	answered affirmatively when asked do you have a
21	high and the very low and that would be perfectly	$\begin{vmatrix} 21 \\ 22 \end{vmatrix}$	general understanding of was the term biodegradable
23	appropriate.	23	means correct?
	BY MR. COHEN:	24	A. That's correct.
25	Q. That's not what I asked respectfully. It	25	Q. So every consumer you counted in your survey
	46		48
1	might be appropriate to follow what you just said to		who gave a response that's arguably with any
2	trim the very high and the very low correct? A. Correct.		scientific definition of biodegradation was a consumer who had told your researchers that he or
3 4	<b>Q.</b> But it wouldn't be appropriate to code the		she had a general understanding of what the term
4 5	very high but not the very low would it?	5	
6	MR. AWERBUCH: Objection.	6	A. Yes.
7	THE WITNESS: Well, you're going to have to	7	MR. AWERBUCH: Objection.
8	give me some context. I mean there certainly could	8	THE WITNESS: That is correct.
9	be circumstances where that that might make sense.	9	BY MR. COHEN:
10	BY MR. COHEN:	10	Q. Do you know how many consumers that was?
11	Q. Where might that make sense?	11	A. I don't no. I've not done a count.
12	A. Well if if somebody were to say for example,	12	Q. It's necessary to have some basic
13	a million years, a material years, you could code	13	understanding of the product at issue to study
14		14	
	you would transform it is a whole other question I	15	
	mean they could say eternity they could say never.	16	MR. AWERBUCH: Objection.
	I mean all of those are codeable responses whether	17	THE WITNESS: Well, if the focus is on a
	you would want to transform them into some numeric	18	product, yes it would be.
	value or use the numeric value as stated is a		BY MR. COHEN:
20	different question. And again I think the	20	Q. Let's take a look back at your report which
21	appropriate approach here would have been what I	21	is I think marked as Exhibit 1. If you go to I'll
22	suggested would have been to trimmed if you wanted	22	direct you to page 4, the first sentence under
23	to create any any erythematic arithmetic exercise.	23	background, ECM plastics offers a product biofilm
24 25	Q. In your survey you didn't disallow any responses because they were either too short or too	24 25	
23	responses because they were either too short of too	23	
			<b>CX (Pages 45 to 48)</b>

	49		PUBLIC DOCUMENT51
1	manufacturing process. Did I read that correctly?	1	case.
2	A. Yes you did.	2	Q. Which attorney?
3	Q. And as you mentioned earlier you wrote that	3	MR. AWERBUCH: Objection.
4	sentence yourself?	4	THE WITNESS: Well it came to me from Leo
5	A. I did.	5	Caputo I don't know who may have prepared it.
6	Q. The product you understood yourself to be	6	BY MR. COHEN:
7	studying is called buy oh film?	7	Q. Why was it prepared?
8	A. That's what it's been referred to as yes.	8	MR. AWERBUCH: Objection.
9	Q. From the standpoint of mike biology and I	9	THE WITNESS: Because we we talked a bit
10	understand if this is outside your expertise, do you	10	about what claims might be at issue in in the case
11	know what a buy oh film is?	11	and I asked him for a sample of the claims that were
12	MR. AWERBUCH: Objection.	12	at issue.
13	THE WITNESS: I don't know I don't know	13	BY MR. COHEN:
14	specifically in a generic sense what a buy oh film	14	Q. Let me direct you to the second bullet on
15	is it's been represented to me that this product is	15	the first page that begins master batch pellets TM,
16	an additive that is used in the manufacture of	16	is a revolution air additive and goes on to make
17	plastic I believe coats the exterior which is which	17	various claims. Have I read that correctly?
	I think it's called a film, that facilitates the	18	A. You have.
19	break down of the of the plastic.	19	Q. Did you review and rely upon these sample
20	BY MR. COHEN:	20	claims in the preparation of your report?

23 indeed my survey.

25 you made?

A. I did review them and I -- I selected

22 several that with some modification. I then use

Q. What was the basis for the selections that

**Q.** Are you familiar with a product ECM sells 21 22 called master batch pellets capital M, capital B in

23 the batch and Capital P for pellets, and then it's

24 trade marked?

A. I'm not familiar with that. 25

50

21

24

Q. Let me mark as Exhibit 5 excuse me I think A. I was simply looking for for various types 1 1 we're on four I apologize a flyer that Dr. Stewart 2 of claims that that were made that seemed to be 2 3 you produced to us. Have you seen this before? 3 different in terms of specificity, detail, language. 4 A. I have. 4 Q. Were you told to use any particular claims? 5 5 Q. It's entitled mechanism for biodegradation MR. AWERBUCH: Objection. 6 of products manufactured with ECM master batch 6 THE WITNESS: I was not. pellets and then there's a trade mark up there 7 7 BY MR. COHEN: 8 correct? 8 Q. Where is it your understanding that ECM sells a product called buy oh film come from? 9 A. That's correct. 9 10 Q. Did you consider this document strike that 10 A. I believe I have seen this in some did you rely upon this document in the preparation 11 documents. I think it's been a part of 11 12 of your report? 12 conversations with with the attorneys and and with 13 A. I don't believe that I did. It was part of 13 employees of the company. 14 a number of documents around the product and company 14 **Q.** Which employees of the company? 15 that I was provided but I didn't make any use of it. 15 A. The president is one I think that was his Q. Did you review the document prior to 16 16 title. I've had a couple of conversations with him. drafting your report? He's the only one that I've had substantive 17 17 A. I probably did review it. I don't, I don't 18 conversations with. 18 19 have a strong recollection of it. 19 Q. And which attorneys did you speak with who Q. Let's mark as Stewart five a document that's told you that ECM sells a product called bio film? 20 20 21 entitled sample claims by ECM buy oh films have you 21 A. I think Lou Caputo. 22 seen this document before Dr. Stewart? 22 **Q.** Any others? 23 23 A. I have. A. I think that's he think that's the only one. 24 Q. Who prepared this document? 24 Q. And I under you may not remember his name but the president would that have been Robert 25 A. I believe the attorneys in this particular 25

## **CX-A:1** 13 (Pages 49 to 52)

52

	53		PUBLIC DOCUMENT55
1	Sinclaire?	1	it is certainly possible that people taking an
2	A. Yes I believe that's correct.	2	
3	Q. And he would have told you will that ECM	3	could be misled and deceived.
4	sells a product called bio film?	4	BY MR. COHEN:
5	MR. AWERBUCH: Objection.	5	Q. Let me give you a hypothetical. A juice is
6	THE WITNESS: Well that's my recollection	6	marketed as having more energy than a competitors
7	it's been a while since I talked to him but I	7	products. Or competitor products. The only
8	certainly had a conversation with him about the	8	difference between the marketers product and the
9	product.	9	competitors product is that the marketers product
10	BY MR. COHEN:	10	contains more calories. Solely due to the poor
11	Q. Let's assume just for the purpose of this	11	nutritional education in the United States a
12	next series of questions that ECM does not sell a	12	substantial minority of reasonable consumers
13	product called biofilm. That wouldn't change your	13	interpret the marketing reference to more energy to
14	opinions would it?	14	mean more vitamins and they buy the product in part
15	A. Not at all.	15	based on the more energy claim. Have those
16	Q. You would just substitute the references in	16	
17	the report to the alleged biofilm product to master	17	MR. AWERBUCH: Objection.
18	batch pellets?	18	THE WITNESS: If there's evidence that they
19	A. I might. The study that I did was really	19	take away a claim about vitamins, and that they take
20	focused on any specific product, in fact I was I was	20	away that claim based on the communication, and they
21	quite clear in designing the survey that I didn't	21	make a decision based on that that erroneous belief,
	want to mention any specific product name. I simply	22	then yes I think they have been deceived.
	wanted to evaluate claims absent reference to a	23	BY MR. COHEN:
	particular vendor. So we could have you know we	24	Q. I asked you to assume that the sole basis
25	could have substituted most anything. It wouldn't	25	for their belief that more energy meant more
	54		56
1	change the report.	1	vitamins was the poor state of nutritional education
1 2	change the report. Q. Well regardless of what you told survey	2	vitamins was the poor state of nutritional education in the United States. Again given that assumption
3	change the report. Q. Well regardless of what you told survey respondents I understand there may be a reason why	2 3	vitamins was the poor state of nutritional education in the United States. Again given that assumption have those consumers been deceived?
3 4	change the report. Q. Well regardless of what you told survey respondents I understand there may be a reason why you wouldn't want to tell survey respondents the	2 3 4	vitamins was the poor state of nutritional education in the United States. Again given that assumption have those consumers been deceived? MR. AWERBUCH: Objection.
3 4 5	change the report. Q. Well regardless of what you told survey respondents I understand there may be a reason why you wouldn't want to tell survey respondents the exact name of the product would there be a reason	2 3 4 5	vitamins was the poor state of nutritional education in the United States. Again given that assumption have those consumers been deceived? MR. AWERBUCH: Objection. THE WITNESS: If, there, there has to have
3 4	change the report. Q. Well regardless of what you told survey respondents I understand there may be a reason why you wouldn't want to tell survey respondents the exact name of the product would there be a reason that you would use a different name for the product	2 3 4 5 6	vitamins was the poor state of nutritional education in the United States. Again given that assumption have those consumers been deceived? MR. AWERBUCH: Objection. THE WITNESS: If, there, there has to have been some marketing communication as well as the
3 4 5 6 7	change the report. Q. Well regardless of what you told survey respondents I understand there may be a reason why you wouldn't want to tell survey respondents the exact name of the product would there be a reason that you would use a different name for the product in the report?	2 3 4 5	vitamins was the poor state of nutritional education in the United States. Again given that assumption have those consumers been deceived? MR. AWERBUCH: Objection. THE WITNESS: If, there, there has to have been some marketing communication as well as the poor state of their knowledge.
3 4 5 6 7 8	change the report. Q. Well regardless of what you told survey respondents I understand there may be a reason why you wouldn't want to tell survey respondents the exact name of the product would there be a reason that you would use a different name for the product in the report? MR. AWERBUCH: Objection.	2 3 4 5 6 7 8	vitamins was the poor state of nutritional education in the United States. Again given that assumption have those consumers been deceived? MR. AWERBUCH: Objection. THE WITNESS: If, there, there has to have been some marketing communication as well as the poor state of their knowledge. BY MR. COHEN:
3 4 5 6 7 8 9	change the report. Q. Well regardless of what you told survey respondents I understand there may be a reason why you wouldn't want to tell survey respondents the exact name of the product would there be a reason that you would use a different name for the product in the report? MR. AWERBUCH: Objection. THE WITNESS: That's the that's the name	2 3 4 5 6 7 8 9	<pre>vitamins was the poor state of nutritional education in the United States. Again given that assumption have those consumers been deceived? MR. AWERBUCH: Objection. THE WITNESS: If, there, there has to have been some marketing communication as well as the poor state of their knowledge. BY MR. COHEN: Q. The marketing communication in this example</pre>
3 4 5 6 7 8	change the report. Q. Well regardless of what you told survey respondents I understand there may be a reason why you wouldn't want to tell survey respondents the exact name of the product would there be a reason that you would use a different name for the product in the report? MR. AWERBUCH: Objection. THE WITNESS: That's the that's the name that stuck with me, that's what I used.	2 3 4 5 6 7 8 9 10	<pre>vitamins was the poor state of nutritional education in the United States. Again given that assumption have those consumers been deceived?     MR. AWERBUCH: Objection.     THE WITNESS: If, there, there has to have been some marketing communication as well as the poor state of their knowledge. BY MR. COHEN:     Q. The marketing communication in this example is the product is being marketed as having more</pre>
3 4 5 6 7 8 9 10 11	change the report. Q. Well regardless of what you told survey respondents I understand there may be a reason why you wouldn't want to tell survey respondents the exact name of the product would there be a reason that you would use a different name for the product in the report? MR. AWERBUCH: Objection. THE WITNESS: That's the that's the name that stuck with me, that's what I used. BY MR. COHEN:	2 3 4 5 6 7 8 9 10 11	<pre>vitamins was the poor state of nutritional education in the United States. Again given that assumption have those consumers been deceived?     MR. AWERBUCH: Objection.     THE WITNESS: If, there, there has to have been some marketing communication as well as the poor state of their knowledge. BY MR. COHEN:     Q. The marketing communication in this example is the product is being marketed as having more energy.</pre>
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	57		FUBLIC DUCUIVIENT 59
1	Q. Okay let's break that down. You said a	1	marketer intends to deceive. I suppose that could
2	couple of interesting things there. You would need	2	be done.
3	to know that people took away the vitamin claim from	3	BY MR. COHEN:
4	the reference to energy. Did I understand that was	4	Q. So if the marketer intends to deceive in the
5	one of the two points that you just made?	5	sense that the marketer is capitalizing on a
6	A. That's correct.	6	pre-existing erroneous belief. The marketer would
7	Q. So if the, if there were evidence that the	7	be violating the FTC act in that situation correct?
8	energy claim contained an implied claim of vitamins,	8	MR. AWERBUCH: Objection objection.
9	would that satisfy your concern now?	9	THE WITNESS: Well now you're asking me for
10	A. Well whether it's explicit or implied is not	10	a legal opinion and I and I can't give you a legal
11	the issue because that's a characteristic of the	11	opinion. I do think that in that situation if if if
12	claim what's important is what do people carry away	12	those are the only facts on the table there may be
13	in terms of a message and you know if they if they	13	key word is maybe, a basis to believe the individual
14	infer something that is implied then they could	14	has been deceived.
15	conceivably been misled in that case.	15	BY MR. COHEN:
16	Q. And I believe and I apologize you made a	16	Q. And just for the record, so the record is
17	second point as well can you refresh my	17	clear I understand that you're not a lawyer correct?
18	recollection?	18	A. That's correct.
19	A. Yeah.	19	Q. You do, you are an expert in what I would
20	Q. As to what that second point was?	20	call general sort of law and marketing would that be
21	A. Well the point was there needed to be a	21	a fair sort of rough characterization?
22	demonstration that it was the marketing	22	A. That's fair.
23	communication that actually created the problem or	23	Q. And so you wouldn't give me a different
24	the deception if you will so what you want to do is	24	answer to the last question if I couched it in terms
25	control for those pre-existing beliefs so for	25	of based on your expertise as an academic who
25	control for those pre-existing beliefs so for 58	25	of based on your expertise as an academic who 60
25	58		60
1	58 example, if you simply provided a fruit juice absent	1	60 studies law and marketing would you?
25 1 2 3	58		60 <b>studies law and marketing would you?</b> A. I wouldn't change my answer no.
1 2 3	58 example, if you simply provided a fruit juice absent the particular claim about energy, how many people make an inference about vitamins in that case, and	1 2	60 studies law and marketing would you? A. I wouldn't change my answer no. Q. Let's try one or two more. Let's say that a
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$ \begin{array}{c} 1\\2\\3\\4\\5\\6\\7\\8\\9\\10\\11\\12\\13\\14\\15\\16\\17\\18\\19\end{array} $	58 example, if you simply provided a fruit juice absent the particular claim about energy, how many people make an inference about vitamins in that case, and is it substantially smaller number than is the case where people may have been exposed to the claim at issue. <b>Q. So if I understand your contention correctly</b> <b>and I'm sure you'll correct me if I don't. If the</b> <b>belief in this example energy means vitamins, does</b> <b>not come from the marketing communication itself</b> <b>there can't be deception?</b> MR. AWERBUCH: Objection. THE WITNESS: Well it the person may be deceived for other reasons but they're not being deceived by virtue of the claim at issue. BY MR. COHEN: <b>Q. What about a situation where a marketer</b> <b>takes advantage of a preexisting erroneous belief</b> <b>amongst the population? Is that marketer deceiving</b>	$ \begin{array}{c} 1\\2\\3\\4\\5\\6\\7\\8\\9\\10\\11\\12\\13\\14\\15\\16\\17\\18\\19\end{array} $	60 studies law and marketing would you? A. I wouldn't change my answer no. Q. Let's try one or two more. Let's say that a dietary supplement is marketed to consumers as boosting immunity. The claim is true in the sense that the supplement increases the presence of certain blood components associated with the body's immune system but it's not true in that it reduces the risk of cold and flu however again solely due to the poor state of science education in the United States a substantial minority of reasonable consumers believe that boosting immunity means reducing the risk of cold and flu. That substantial minority buys the product based in part on the boosting immunity claim have those consumers been deceived? MR. AWERBUCH: Objection. THE WITNESS: It's possible but again I would need more facts. I would need to know the
$ \begin{array}{c} 1\\2\\3\\4\\5\\6\\7\\8\\9\\10\\11\\12\\13\\14\\15\\16\\17\\18\\19\\20\end{array} $	58 example, if you simply provided a fruit juice absent the particular claim about energy, how many people make an inference about vitamins in that case, and is it substantially smaller number than is the case where people may have been exposed to the claim at issue. <b>Q. So if I understand your contention correctly</b> <b>and I'm sure you'll correct me if I don't. If the</b> <b>belief in this example energy means vitamins, does</b> <b>not come from the marketing communication itself</b> <b>there can't be deception?</b> MR. AWERBUCH: Objection. THE WITNESS: Well it the person may be deceived for other reasons but they're not being deceived by virtue of the claim at issue. BY MR. COHEN: <b>Q. What about a situation where a marketer</b> <b>takes advantage of a preexisting erroneous belief</b> <b>amongst the population? Is that marketer deceiving</b> <b>consumers?</b>	$ \begin{array}{c} 1\\2\\3\\4\\5\\6\\7\\8\\9\\10\\11\\12\\13\\14\\15\\16\\17\\18\\19\\20\\\end{array} $	60 studies law and marketing would you? A. I wouldn't change my answer no. Q. Let's try one or two more. Let's say that a dietary supplement is marketed to consumers as boosting immunity. The claim is true in the sense that the supplement increases the presence of certain blood components associated with the body's immune system but it's not true in that it reduces the risk of cold and flu however again solely due to the poor state of science education in the United States a substantial minority of reasonable consumers believe that boosting immunity means reducing the risk of cold and flu. That substantial minority buys the product based in part on the boosting immunity claim have those consumers been deceived? MR. AWERBUCH: Objection. THE WITNESS: It's possible but again I would need more facts. I would need to know the extent to which that generalized belief influenced
$ \begin{array}{c} 1\\2\\3\\4\\5\\6\\7\\8\\9\\10\\11\\12\\13\\14\\15\\16\\17\\18\\19\end{array} $	58 example, if you simply provided a fruit juice absent the particular claim about energy, how many people make an inference about vitamins in that case, and is it substantially smaller number than is the case where people may have been exposed to the claim at issue. <b>Q. So if I understand your contention correctly</b> <b>and I'm sure you'll correct me if I don't. If the</b> <b>belief in this example energy means vitamins, does</b> <b>not come from the marketing communication itself</b> <b>there can't be deception?</b> MR. AWERBUCH: Objection. THE WITNESS: Well it the person may be deceived for other reasons but they're not being deceived by virtue of the claim at issue. BY MR. COHEN: <b>Q. What about a situation where a marketer</b> <b>takes advantage of a preexisting erroneous belief</b> <b>amongst the population? Is that marketer deceiving</b>	$ \begin{array}{c} 1\\2\\3\\4\\5\\6\\7\\8\\9\\10\\11\\12\\13\\14\\15\\16\\17\\18\\19\end{array} $	60 studies law and marketing would you? A. I wouldn't change my answer no. Q. Let's try one or two more. Let's say that a dietary supplement is marketed to consumers as boosting immunity. The claim is true in the sense that the supplement increases the presence of certain blood components associated with the body's immune system but it's not true in that it reduces the risk of cold and flu however again solely due to the poor state of science education in the United States a substantial minority of reasonable consumers believe that boosting immunity means reducing the risk of cold and flu. That substantial minority buys the product based in part on the boosting immunity claim have those consumers been deceived? MR. AWERBUCH: Objection. THE WITNESS: It's possible but again I would need more facts. I would need to know the

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- 22 THE WITNESS: You'd have to give me more, I
- 23 mean you'd have to give me more fact does I mean 24 I -- I mean the answer is possibly but possibly not
- 25 I mean you have framed the question as though the
- 23 created by marketing communication, and people are 24 using it to make make decisions about all manner of 25 products then I'm not sure they are deceived. They

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1	may have an erroneous belief but I'm not sure we can	1	the marketplace. Again you can't hold a marketer
2	hold a motherer responsible for that.	2	responsible for beliefs that have been developed by
3	BY MR. COHEN:	3	virtue of things that are not within the control of
4	Q. Could you hold the marketer responsible if	4	the marketer.
5	the marketer is capitalizing on a known erroneous	5	BY MR. COHEN:
6	belief?	6	Q. So if I understand you correctly the
7	MR. AWERBUCH: Objection.	7	marketer has no responsibility for pre-existing
8	THE WITNESS: Now you'll need to define	8	erroneous beliefs among of the the population with
9	capitalize.	9	respect to whether or not it's claim is evaluated as
10	BY MR. COHEN:	10	deceptive?
11	Q. The marketer is aware of the erroneous	11	MR. AWERBUCH: Objection.
12	belief and never the less markets the product	12	THE WITNESS: No, I didn't say that. I
13	without any qualification?	13	think marketers do have some responsibility but it
14	MR. AWERBUCH: Objection.		is also the case that marketers don't have control
15	THE WITNESS: Again I would think you have		over many of the things that create erroneous
16	to give me more information in that specific case.	16	beliefs among consumers and you can't hold marketers
17	BY MR. COHEN:	17	responsible for those erroneous beliefs.
18	Q. What I'm sorry go ahead?		BY MR. COHEN:
19	A. Well, if people marketers are not	19	Q. Ma'am could you read back the answer read
20			read?
21	carry around that have not been created by by the	21	Q. Thank you. When you said some
22	marketing stimulus or the marketers actions. You		responsibility in your answer, what is that
	know if there is a specific claim that is misleading		responsibility that you referenced?
	than and people rely on it, then there may be	24	A. Well I think marketers have a responsibility
_25	deception involved but you know I don't think we can	25	to be generally aware of of who their consumers are,
	62		64
1	hold marketers responsible for all the erroneous	1	what they believe, what they buy and to assure that
2	beliefs people carry around in the marketplace.	2	the information that they present to their consumers
3	Q. And you would maintain that position even if	3	is, is, is factually accurate.
4	the marketer is knowingly capitalizing on those	4	Q. So again, if it's factually accurate but
5	erroneous beliefs?	5	likely to be misunderstood based on pre-existing
6	MR. AWERBUCH: Objection.	6	beliefs there's no deception there?
7	THE WITNESS: Again I I don't know I don't	7	MR. AWERBUCH: Objection.
8	know what you mean by capitalizing. I mean that's		THE WITNESS: No that's not what I said
9 10	that's my difficulty with your, you'd have to tell	9	there could be but there also may not be and we
	me what the marketer is doing specifically before I		would have to identify specific cases I believe, to determine whether or not there was there was
11 12	can answer that question. BY MR. COHEN:	11	
12	<b>Q.</b> Well let's stick with the hypothetical for a	12 13	deception present. I mean again there has to be something that the marketer has done or not done
13		13	that they can be held responsible to and it has to
14	understands that a significant mine north of	14	be you know, a belief that people are acting on.
	consumers understand that boosting immunity will be	16	BY MR. COHEN:
17	interpreted withdrawn.	17	Q. Are there any other I guess cry tear I don't
18	The marketer understands that a significant		know you just gave me two that will help me
19	minority of consumers who see the phrase boosting	19	determine the circumstances in the situation where
20	immunity will interpret that to mean reduces cold	20	the marketer would be responsible and the marketer
21	and flu. The marketer knows that. In that	21	would not be responsible?
22	situation has there been deception?	22	A. Well I mean there could be any, in specific
23	MR. AWERBUCH: Objection.	23	situations there could be I suppose any number of
	-	24	other things, but in general there needs to be some
24	THE WITNESS: Not necessarily. It depends	24	other things, but in general there needs to be some
	on the nature of the claim, the characteristics of		evidence first of all that there's even an erroneous

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1	belief. Secondly that some how that erroneous	1	regarding how much time it would take for a plastic
2	belief is there by some action or inaction by the	2	product labeled biodegradable to biodegrade are you?
3	marketer, and thirdly that you know people are you	3	MR. AWERBUCH: Objection.
4	know are behaving differently shop I differently	4	THE WITNESS: I'm only offering opinions
5	making different purchase decisions by virtue of	5	that are grounded in the survey work that I did. I
6	that erroneous belief created by the marketer.	6	think I've given you those opinions. There may be
7	Q. You took a telephone survey in this case	7	others but those are the ones that I I can
8	correct?	8	identify as we speak.
9	A. I did.	9	BY MR. COHEN:
10	Q. How is it possible to survey consumers	10	Q. And so the answer to my question is no?
11	impressions of the ECM logo over the phone?	11	MR. AWERBUCH: Objection.
12	MR. AWERBUCH: Objection.	12	THE WITNESS: Well no the answer is there
13	THE WITNESS: It's not that wasn't the	13	may be other opinions that the data inform, I may
14	purpose of the survey.	14	not have fully framed them. They're likely
15	BY MR. COHEN:	15	subopinions of what we've talked about, but I'm not
16	Q. In your survey of consumers why didn't you	16	going to say that there wouldn't be any opinions
17	ask them how much time it would take for plastic	17	that might emerge.
18	labeled buy degradable to biodegrade?	18	BY MR. COHEN:
19	A. Because I wasn't interested in that specific	19	Q. What other opinions do you anticipate might,
20	topic. I was interested in peoples general	20	emerge?
21	understanding of biodegradability.	21	MR. AWERBUCH: Objection.
22	Q. And why were you not interested in that	22	THE WITNESS: I don't know. I was given
23	specific topic?	23	Dr. Fredericks survey and asked to opine on that. I
24	A. Because I thought it would emerge as a part	24	don't know what else I might be given and might be
25	of the more general discussion of biodegradability	25	asked to opine upon. It may also be the question
	66		68
1	and in fact it did.	1	arises that the day an I've collected could inform
2	Q. Why not ask both the more general questions	$\begin{vmatrix} 1\\2 \end{vmatrix}$	and then I'll use that data to inform that, you know
3	that were in your survey and also, specifically how	$\begin{vmatrix} 2\\ 3 \end{vmatrix}$	that opinion.
	much time will it take for a plastic labeled		BY MR. COHEN:
5	biodegradable to biodegrade?	5	Q. These opinions that may develop in the
6	A. Because that wasn't the purpose of the		future, you would agree by definition they're not in
	survey. I could have designed a different survey		the report that was provided to complaint counsel
8	but that was not the purpose of the say.	8	correct?
9	Q. You're not offering an opinion about	9	A. I would grow with that yes.
10	consumers views regarding how much time it would	10	Q. Let's take a look back at Exhibit 2. Which
11	take for a plastic product labeled biodegradable to	11	I believe is the screen shots but I apologize if I'm
12	biodegrade are you?	12	incorrect I think it is the screen shots?
13	MR. AWERBUCH: Objection.	13	A. Mm-hmm.
14	THE WITNESS: To the extent that I have data	14	Q. I direct you will to questions four A, and
15	that speaks to that issue I am.	15	four B. Why were these questions asked at all?
16	BY MR. COHEN:	16	A. Because I was trying to develop more
17	Q. And what is that opinion?	17	complete understanding of whether, what people
18	A. Well that by and large there's a great deal	18	understood the term biodegrade to mean and I I had
19	of skepticism ignorance, and just general lack of	19	seen other studies read other materials, that
20	understanding about that topic.	20	clearly indicated that that the types of products
21	Q. Other than the fact that in your opinion	21	type of material has an influence on the rapidit of
22	with respect to consumers assessments of	22	biodegradability and so I wanted to understand what
23	biodegradation times there is a lot of skepticism	23	consumers understood about that. I also understood
24	ignorance and lack of understanding. You're not	24	from various sources that there are there are
25		25	differences in the time it takes for various

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1	materials to biodegrade so I wanted to understand	1	different types of products to biodegrade decompose
2	something about consumers understanding of that.	2	
3	Q. Were there any other reasons?	3	A. Well I hope we did put that in their minds
4	A. I don't believe so. The purpose of the	4	because we're asking them whether or not they think
5	survey was to gain an insight into what people	5	there are those differences "yes" or "no", people
6	understood about biodegradability.	6	could say no and some people did.
7	Q. It would have been possible wouldn't it to	7	Q. Most people didn't?
8	ascertain consumers understanding of ECMs marketing	8	A. Most people did not correct.
9	without asking questions four A, through four B;	9	Q. Can you think of an alternative question or
10	correct?	10	
11	A. I suppose so, that's a different question.	11	consumers estimate different biodegradation times
12	Q. Why were these questions four A. Through	12	for different productions. I could have asked a
13	four B, asked before the question series that	13	whole series of questions product by product
14	purportly replicates ECMs marketing which would be	14	material by material that would have lengthened the
15	the question five series?	15	questionnaire and I don't think would have begin us
16	MR. AWERBUCH: Objection.	16	any greater insight?
17	THE WITNESS: Because I did not want	17	Q. How about a design where you ask one group
18	specific claims to contaminate the answers to the	18	how long plastic takes to biodegrade and another
19	earlier questions. I didn't want to give people a	19	group how long wood takes to biodegrade and compare
20	statement that referenced a specific timeframe and	20	the answers?
21	then ask them about time. It's generally	21	A. That that certainly could have been a
22	appropriate in surveys to ask more general questions	22	design. It would have required using two different
23	followed by more specific questions. And that's the	23	groups but it certainly something that would have
24	approach I followed here.	24	been possible.
25	BY MR. COHEN:	25	Q. Information conveyed to respondents earlier
	70		72
1	Q. Take a look back at question four A, please.	1	in a survey can affect their answers to later
2	Do you think there are differences in the amount of	2	questions correct?
3	time it takes for different types of products to	3	A. It certainly can.
4	biodegrade decompose or decay, that's a leading	4	Q. What's more important to determining whether
5	question isn't it?	5	ECMs claims are deceptive, whether consumers
6	MR. AWERBUCH: Objection.	6	estimate different biodegradation times for
7	THE WITNESS: Well it's leading to the	7	different products or how consumers understand ECM;s
8	extent that it asks people "yes" or "no."	8	marketing?
9	BY MR. COHEN:	9	MR. AWERBUCH: Objection.
10	Q. A leading question is a question that	10	THE WITNESS: I actually you need to read
11	suggests the answer correct?	11	the question back I'm sorry read read.
12	MR. AWERBUCH: Objection.	12	THE WITNESS: I don't think you can say one
13	THE WITNESS: That's correct.	13	1
14	BY MR. COHEN:		In so far as people are carrying around beliefs that
15	Q. This question suggests that there are	15	may be highly varied in some cases perhaps erroneous
16	differences in the amount of time it takes for	16	
17/ 10	different types of products to biodegrade decompose	17	
18	or decay correct?		communications. So you really have to have some
19	A. No it doesn't.	19	6
20	Q. And why don't you think this is a leading	$\begin{vmatrix} 20 \\ 21 \end{vmatrix}$	done here, to gain insight into what the claims may
21	question in that regard?	21	have communicated. BY MR. COHEN:
22	A. It doesn't suggest a yes or a no answer.	22 23	
23 24	Q. You don't believe that this question put in the mind of survey respondents the fact that there	23	Q. Questions five A through five C ostensibly simulate ECM's marketing correct?
24	the mind of survey respondents the fact that there are differences in the amount of time it takes for	24	MR. AWERBUCH: Objection.
23	are differences in the amount of time it takes for	L 23	

#### 1 THE WITNESS: No I wouldn't say they 1 average call length across the four hundred 2 simulate their marketing. What they are are an 2 respondents was 12 minutes? 3 3 effort to take three of the claims that were A. That's correct. 4 4 identified for me and put them into ail non Q. Do you know what the range was? manufacturer specific form and as we did not 5 A. As I sit here I don't know exactly what the 5 6 identify the manufacturer, and ask people what these 6 range was. claims would would mean to them. 7 Q. Could that information be ascertained? 7 8 BY MR. COHEN: 8 A. I believe it probably could be yes. 9 **O.** And how would that information be 9 Q. Let me ask you to assume the questions four 10 A, questions four and four A, are leading and let me 10 ascertained? 11 further more ask you? 11 A. The survey research company would would very 12 A. I won't take that assumption. They're not 12 likely have records. It it would probably have to 13 leading. Un ambiguously and so I won't accept that 13 be computed but I -- I believe that they would have 14 assumption. 14 a record of how long each call lasted. Q. You understand that as an expert in a Q. Based on your professional expertise do you 15 15 16 have an approximate range that you can provide us? 16 deposition you don't have to agree with the 17 assumption but you have to accept it if you 17 MR. AWERBUCH: Objection. 18 understand it? 18 THE WITNESS: I would say between five 19 A. Well but you're asking me to assume 19 minutes and 20 minutes. 20 something that's false. 20 BY MR. COHEN: 21 Q. So you will not answer any questions in 21 Q. It would be fair to estimate and I 22 which you're asked to assume that questions four and 22 understand this is only an estimate, that by the 23 four A are leading? 23 time respondents were asked question five A, they 24 A. They are patently not leading and and 24 had already been on the telephone talking about 25 therefore, any any answer based on the assumption is 25 biodegradation for anywhere from seven to ten 74 1 not going to be a useful answer. 1 minutes is that fair? 2 O. Shouldn't that be for the court to decide? 2 A. That's fair. That's quite possible yes. 3 A. Well the, no. It's for me to decide whether 3 Q. The fact that respondents were involved in a 4 I can give you a meaningful answer to your question 4 seven to ten minute conversation about and you've asked me to assume something that is 5 5 biodegradation before being asked questions five Ato five C could have affected their answers to those patently false. 6 6 Q. Let's mark Exhibit 6 mark mark Exhibit 6. 7 7 questions couldn't it? 8 Let me give this to Dr. Stewart. 8 MR. AWERBUCH: Objection,. 9 **Q.** Dr. Stewart was is this document? 9 A. Certainly it could would have made them more 10 A. This is a copy of I believe the final 10 attentive to the questions. 11 progress report on the interviewing that was done 11 BY MR. COHEN: 12 for my survey, survey of consumers and it reflects 12 Q. Could it have affected their answers in any 13 the disposition of the sample. 13 other ways? 14 Q. And I apologize I think you just said this 14 A. I don't believe so. 15 so again I apologize for repeating but this is the 15 Q. Most consumers don't engage in seven to ten 16 final report isn't it? 16 minute conversations about biodegradation when they 17 A. I believe it is the final report yes I was 17 walk into a store and decide to buy a product do 18 given these on a routine basis not daily but 18 they? 19 regularly to give me an update on where we stood 19 A. Not as a general rule. 20 with respect to collecting data. 20 Q. So in this respect your survey doesn't Q. And you can tell this is the final report 21 21 simulate the actual consumer experience does it? 22 because it reports data for four hundred respondents 22 MR. AWERBUCH: Objection. 23 and you had four hundred respondents in your survey? 23 THE WITNESS: It does not and that was not 24 it's attempt.

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BY MR. COHEN:

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24 A. That's correct.

Q. Based on the information provided here the 25

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	11		FUBLIC DUCUWILINI /9
1	Q. The net impression that a consumer takes	1	particularly one that's done over a relatively short
2	away from a biodegradeable claim is different when	2	period of time even a month tends to produce larger
3	the consumer confronts it on a store shelf rather	3	numbers of older less mobile consumers in order to
4	than after a seven to ten minute conversation about	4	pick up more younger consumers it's necessary to use
5	biodegradation correct?	5	a listed sample ask.
6	A. I I would agree that that is the case.	6	BY MR. COHEN:
7	We didn't show people a logo here. That was not the	7	Q. How long over what period of time was this
8	purpose of the of the research. So there	8	
9	would be some difference yes.	9	A. It was about a month.
10	Q. In professor fred restriction study	10	Q. Are you sure about that?
11	consumers were shown productions with ECM	11	A. Well it would be it would be in my report.
12	biodegradeable logos but without a seven to ten		Well could take a look at that because it is stated
13			in my report. Yeah I was right it's about a month
14			the study began March 262014 and it was completed on
15	A.		May 1st 2014. That was the primary study. We had
16	MR. AWERBUCH: Objection.	16	
17	THE WITNESS: It's my understanding some of	17	than a month.
		18	Q. What percentage of Americans still has a
19	BY MR. COHEN:		land line?
20	Q. Just so the record is clear and I believe it	20	A. About 75 percent.
21	is clear, you are not going to respond to any	21	Q. What percentage of Americans uses the
22	questions that ask you to assume that four and four	22	
23	A are leading?	23	A. Again about 75 to 80 percent and I'm
24	MR. AWERBUCH: Objection asked and answered.	24	
25	THE WITNESS: I I'm not going to make a	25	Q. Uses the Internet in the home?
	78		80
1	false assumption and then give you an answer based	1	A. Yes.
2	on a false assumption.	2	Q. What percentage of Americans uses the
3	BY MR. COHEN:	3	Americans at all?
4	Q. With respect to this telephone survey, only	4	A. Probably close to 90 percent have some use
_	land lines were dialed correct?	5	
6	A. That is correct.		to include you'd actually have to include mobile
7	Q. Where did the sample of land lines come	7	
	from?	8	access Internet in limited fashion on the job, who
9	A. It came from two sources. One was from	9	access kiosks but it would be a very sizeable
10	scientific sampling that scientific sampling		percentage of the population.
11	generated a random digit dial sample and we	11	Q. Do you know whether the percentages of
12	supplemented that with a listed sample that we		Americans that still have a land line is greater or
13	obtained from survey sampling. And and the final		lesser than number of Americans that use the
14	sampling frame was a combination of the two.		Internet anywhere may have just begin me that
15	Q. Was one of those sets of samples something	15	
16	that is known as age enhanced?	16	A. I think I just gave you that answer. You
17	A. Well you could you could call it age	17	1
18			I think I would be on solid ground to say that more
19	recollect the listed sample was obtained in order to	19	
20	represent more younger consumers, yes.	20	
21	Q. Why was it necessary to modify the sample to	21	Q. It's the case isn't it that Americans that
22	obtain more younger consumers?	22	
23	MR. AWERBUCH: Objection.	23	than Americans who do not correct?
24	THE WITNESS: Because experience generally	24	MR. AWERBUCH: Objection.
25	demonstrates that a pure random digit survey	25	THE WITNESS: Well if, if by that you mean

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	81		PUBLIC DOCUMENT 83
1	that the demographic characteristics are not the	1	Q. If we assume that we know who his population
2	same, then the answer is yes.	2	was would you then give the same answer?
3	BY MR. COHEN:	3	A. Again you're asking me to assume something
4	Q. One of the demographic characteristics on	4	that's false. You know if he had a representative
5	which what I'll call the land line group and the non	5	sample which he does not, then I would say great
6	land line group differ is their income is that	6	it's representative?
7	correct?	7	Q. Let's take a look back at Exhibit 6, do I
8	A. That that would be generally correct yes.	8	understand correctly that your researchers made 70
9	Q. And another is their age?	9	thousand two hundred 79 phone calls to obtain a
10	A. That would be correct.	10	r i i i i i r r r
11	Q. And another is their education?	11	A. That's correct.
12	A. Probably. Yes.	12	Q. Four thousand 20 people answered the phone
13	Q. Are there others that I've neglected?	13	
14	A. Have well, the length of time they have been	14	A. That's correct mm-hmm.
15	in their residence for example. That's the only	15	Q. The line below refuse to participate reads
16	other one I could think of.	16	RF underscore S1 dash not willing to participate and
17	Q. Assume that a survey of American consumers	17	then gives the number 291 do you see that?
18	is conducted and further assume that that survey is	18	A. I do.
19	demographically un representative of American	19	Q. What does that line mean?
20	consumers in a substantial way. Can you conclude	20	
21	without additional information whether or not the	21	
22	surveys results are valid?	22	answer a few questions, they declined.
23	MR. AWERBUCH: Objection.	23	Q. What's the difference between people who
24	THE WITNESS: In some cases you may be able		refused to participate and people who refused to
	to in some cases no.	23	answer or declined to answer a few questions?
	82		84
1	BY MR. COHEN:	1	A. Well the people who refused to participate
2	Q. In the cases where you cannot reach that	2	just very early in the telephone call said I'm not
3	conclusion, what additional information would you	3	interested and didn't even get to the first
4	need?	4	question. The 291 people who were asked the first
5	A. Well it depends on what what the question	5	question and declined.
6	is. Some questions require a representative sample,	6	Q. So it would be accurate to say that the
7	some questions do not. Some questions can be	1	number of people who refused to participate after
8	addressed just by knowing what people in a sample	8	the first question is 4,020 plus two hundred nine
9	that is generally representative but not completely,	9	
10	have to say whereas in other cases you you need a	10	
11	more representative sample. So it really depends on	11	Q. What, if anything, do you know about the
12	the question at hand.	12	demographic characteristics about the people who refused to participate after the first question?
13	Q. Are the questions in your consumer survey	13	
14 15	questions such that a representative sample is necessary?	14 15	A. I know little about the demographic characteristics other than they were a random sample
16	A. I think it's necessary to have a generally	16	
17	representative sample but I don't think it has to be	17	Q. What does not qualify interviews what does
18	a perfect replica of the population characteristics.	18	
19	<b>Q.</b> Would you say the same thing, that with	19	A. Well this is actually broken out above in
20	respect to Professor Fredericks survey it has to be	$\begin{vmatrix} 1 \\ 20 \end{vmatrix}$	
20	generally representative but not a perfect	20	middle of the page and so people could have been
22	replication of the population?	22	disqualified for participation for a number of
23	A. Well if we actually knew what his population	23	reasons, so for example, there were two individuals
	was I would say yes but we have no clue who was in		where the call was answered by someone under 18 and
	his nonviolation		there was no one in the household who was 19 or

25 his population.

25 there was no one in the household who was 18 or

	85		PUBLIC DOCUMENT 87
1	older. We disqualified people who were employed by	1	giving a particular answer they're more likely to be
2	either a plastic product manufacturer or a waste	2	disqualified?
3	disposal association largely because we thought they	3	MR. AWERBUCH: Objection.
4	would have unusual knowledge there were 11 of those	4	THE WITNESS: Again anything is possible but
5	people so we disqualified them we had a few people	5	there's no reason why an individual should think
6	who had not purchased a plastic container. We had	6	these questions should should lead them to believe
7	some people that did not have a general	7	that they will be disqualified.
8	understanding of biodegradeable and then we	8	BY MR. COHEN:
9	established some general quotas based on age and	9	Q. What, if anything, do you foe about the
10	gender and in some cases we were over quota when we	10	demographic characteristics of the people who you
11	reached an individual so that individual was	11	deem not qualified for the reason that they
12	disqualified so it was basically disqualification	12	allegedly had not purchased a plastic product or
13	based on questions in the screener questionnaire.	13	plastic container within the past month?
14	Q. Why did you exclude people who reported not	14	A. I don't know anything about the demographic
15	personally purchasing if I plastic product or any	15	
16	anyone that came in a plastic container or made of	16	sampling frame.
17	plastic in the past month I think email paraphrasing	17	Q. Your researchers spoke with 39 respondents
18	there queening question five?	18	who stated that they did not have a general
19	A. Because I thought those individuals would be	19	understanding of the term biodegradeable correct?
20	un representative of the population as a whole.	20	A. That's correct.
21	Most people purchase something made of plastic,	21	Q. It's possible that those 39 people changed
22	packaging products what have you and to the people	22	their minds about whether they want today
23	had not had a recent experience of purchasing	23	participate in the survey?
24		24	MR. AWERBUCH: Objection.
_25	represent tiand we excluded them.	25	THE WITNESS: Again anything is possible but
	86		88
1	Q. Was it possible some people had purchased	1	there was no way for them to know what what outcome
2	something made of plastic in the past month but	2	would be associated with any answer to this
3	didn't remember?	3	question. This could have been a question that was
4	A. That's possible.		asked without an instruction to terminate. It could
5	Q. Is it possible they weren't telling the	5	have simply been we like to know for everybody
6	truth because they had changed their minds about	6	
7	whether they wanted to participate in the telephone		
8	survey?	8	a respondent to know whether that was going to
9	MR. AWERBUCH: Objection.	9	happen or that we might terminate them. In fact
10	THE WITNESS: Anything is possible. I think		there was no way for a respondent to nope whether
11	it unlikely.	11	any of these questions would result in termination.
12			BY MR. COHEN:
13	Q. Why do you think it's unlikely?	13	Q. It's possible isn't it that these 39
14	A. I don't know why there's no good reason		consumers or some of them had a general
15	for that to have occurred. First of all they don't	15	0
16 17	know they're going to be disqualified if they give a	16	but weren't confident enough in that understanding to participate once they had an understanding what
17 18	particular answer to that question. There's no way that the respondent in advance of giving an answer	17   18	to participate once they had an understanding what that survey was about?
	to any of one of these questions knows whether a	19	MR. AWERBUCH: Objection.
17	to any of one of these questions knows whether a		

20

23

- 20 particular answer will take them further into the
- 21 questionnaire or will result in the questionnaire or
- 22 interview being terminated.
- 23 BY MR. COHEN:

24 Q. You don't believe that some questions might 25 make it at least plausible to a respondent that by

25 i don't see any logic that would lead them to

21 know what the survey is about, so I don't I don't

22 know how they could, how they could arrive at that

logic. I mean they they may decide that they don't 24 want to participate conceivably but i don't see the

THE WITNESS: Well they don't at that point

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	89		PUBLIC DOCUMENT91
1	believe one way or another what what the survey is	1	Q. Assume there's a convenience store that
2	ultimately going to be about.	2	
3	BY MR. COHEN:	3	who's 17 might walk into the convenience store and
4	Q. The question they were asked was do you have	4	purchase a bottle of water on his or her own.
5	a general understand being of what the term	5	That's possible isn't it.
6	biodegradeable means that's Exhibit 2 question	6	A. Oh sure sure certainly.
7	section six, it's possible that consumers who	7	Q. And that purchasing decision could be
8	answered no to this question did have an	8	influenced by the word biodegradable on some of the
9	understanding but weren't confident enough to	9	bottles but not others correct?
10	express that to the researcher correct?	10	A. It's conceivable yes.
11	MR. AWERBUCH: Objection.	11	Q. And that could be true for someone who is 16
12	THE WITNESS: Anything is possible.	12	0
13	Certainly in answering this type of question the	13	A. Certainly could.
14	degree of certainty, the level of knowledge, plays a	14	Q. Maybe even someone in junior high school?
15	role in determining how an individual may respond.	15	A. That certainly could be.
16	BY MR. COHEN:	16	Q. I mean there's probably there's a bottom to
17	Q. And in your professional experience and I'm	17	this right? You you know can't be five or six.
18	not talking about this specific question, but in	18	What percentage of consumers of American consumers
19	your professional experience generally, it's	19	are above the age where they have the ability to
20	sometimes the case that people hold views but if	20	make these purchases and potentially be influenced
21	they aren't sufficiently confident in those views	21	by a biodegradeable claim but below the age of
22	they may be reluctant to express them correct?	22	0 0
23	A. That can on occasion happen, yes.	23	A. II don't know.
24	Q. Why did you exclude people who were under	24	Q. You don't have any information at all
_25	18?	25	regarding the income ranges of your respondents do
	90		92
1	A. Because we were interested in individualed	1	you?
2	who had achieved majority status, it's very common	2	A. I do not.
3	in doing surveys of consumers to collect data only	3	Q. Have you conducted any sort of analysis
	on individuals who are 18 of age and older.	4	0 0 1
5	Q. Why were you interested in only in	5	levels understand the term biodegradeable
6	individuals who had achieved majority status?	6	
7	A. Because I thought they were the ones most	7	A. I have not done that analysis.
8	likely to be relevant. I think if we were looking	8	Q. You're not offering any opinion on that
9	at people who were under 18 we would we would open	9	subject are you?
10		10	A. I'm not planning to offer an opinion at this
	have to ask, so for example, were they still living	11	1
12	at home, did they make purchases as contrasted to	12	
13	their parents making purchases for them. So I think	13	
14	there are a whole set of questions that begin to	14	A. I don't have specific information, some of
15	arise for people who are under 18 that we would have	15	that would be retrievable. We would have area
16	had to have asked to further qualify them that we		codes.
17 18	didn't have to ask for people who are 18 and older.	17 18	Q. You're not presently in possession of that information?
10	Q. Limiting the survey to people that are 18 or older then makes the survey easier to conduct?	18	A. No I'm not.
20	MR. AWERBUCH: Objection.	20	<b>Q.</b> And it didn't influence your analysis one
20 21	THE WITNESS: Well I think it makes it	20	way or another?
21	easier to conduct and it also I believe results in a	$\begin{vmatrix} 21\\22 \end{vmatrix}$	A. It did not.
22	somewhat more homogeneous group since there are	23	<b>Q.</b> You did not rely on that information?
	many, many differences that begin to arise when you	24	A. I did not.
	dealing with people where under 19 years of age	24	A. The survey research firm might have that

25 dealing with people whore under 18 years of age.

25 Q. The survey research firm might have that

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	93		PUBLIC DOCUMENT95
1	information correct?	1	and I've done that in this particular case.
2	A. That's correct.	2	However, you would also not want to be physically
3	Q. Did you have any understanding as to whether	3	present when the interviewing is taking place for
4	or not the survey research firm was making an effort	4	fear of compromising the double blind character of
5	to geographically balance the respondents in your	5	the of the survey so yes you'd have to you have to
6	survey?	6	at some level make an assumption.
7	A. Well that would have happened by by random	7	Q. Have you conducted any sort of analysis
8	selection. The computer assisted telephone	8	regarding whether persons living in different
9	interviewing system that is used by the firm employs	9	regions understand the term biodegradeable
10	a random selection from the sampling frame and and	10	differently?
11	the sampling frame itself was constructed to be	11	A. I have not.
12	representative of United States. So by random	12	Q. You are not offering any opinion on that
13	selection it should have been representative	13	subject are you?
14	geographically.	14	A. I am not.
15	Q. How do you know that that the survey	15	Q. In your survey respondents gender was
	research firm did the random selection process	16	recorded by your researchers by observation?
17	properly?	17	A. That's correct.
18	A. I've worked with this firm for more than two	18	Q. That means that someone listens to that
19	decades I have visited with them I have seen their	19	persons voice and makes an estimation regarding that
20	system. I've watched them collect data. I have	20	persons gender?
21	every confidence that they used it appropriately and	21	A. In general that is true although if it's
22	as I note in my report it is standard practice for	22	unclear the strucks are to ask some of the time I
23	interviews to be monitored by by research	23	don't want to characterize it as let me withdraw it.
24	supervisors in real time. So I I have every	24	A significant portion of the time it's done by
25	confidence that they followed the protocol.		estimation correct.
	94		96
1	O Sticking gracifically with random gas graphic	1	MD AWEDDUCU. Objection
1	Q. Sticking specifically with random geographic selection biassed on different telephone numbers	$\begin{vmatrix} 1\\2 \end{vmatrix}$	MR. AWERBUCH: Objection. THE WITNESS: No it's not done by
23	from different regions, however well founded the		
	IT OTH UTHELETIL LEVIOUS, HOWEVEL WEILTOUHUEU LITE		actimation It's done by observation
			estimation. It's done by observation.
4	assumption you're making is, it would be fair to say	4	BY MR. COHEN:
4 5	assumption you're making is, it would be fair to say it's an assumption; you did not personally	45	BY MR. COHEN: Q. That's a fair point. A significant portion
4 5 6	assumption you're making is, it would be fair to say it's an assumption; you did not personally investigate those?	4 5 6	BY MR. COHEN: Q. That's a fair point. A significant portion of the time it's done by observation?
4 5 6 7	<pre>assumption you're making is, it would be fair to say it's an assumption; you did not personally investigate those? A. I did not personally investigate that;</pre>	4 5 6 7	<ul><li>BY MR. COHEN:</li><li>Q. That's a fair point. A significant portion of the time it's done by observation?</li><li>A. Yes.</li></ul>
4 5 6 7 8	<ul><li>assumption you're making is, it would be fair to say it's an assumption; you did not personally investigate those?</li><li>A. I did not personally investigate that; that's correct. I relied upon the laws of</li></ul>	4 5 6 7 8	<ul> <li>BY MR. COHEN:</li> <li>Q. That's a fair point. A significant portion of the time it's done by observation?</li> <li>A. Yes.</li> <li>Q. What's the error rate when survey</li> </ul>
4 5 6 7 8 9	<ul><li>assumption you're making is, it would be fair to say</li><li>it's an assumption; you did not personally</li><li>investigate those?</li><li>A. I did not personally investigate that;</li><li>that's correct. I relied upon the laws of</li><li>probability.</li></ul>	4 5 6 7 8 9	<ul> <li>BY MR. COHEN:</li> <li>Q. That's a fair point. A significant portion of the time it's done by observation?</li> <li>A. Yes.</li> <li>Q. What's the error rate when survey researchers make that observation?</li> </ul>
4 5 6 7 8 9 10	<ul> <li>assumption you're making is, it would be fair to say</li> <li>it's an assumption; you did not personally</li> <li>investigate those?</li> <li>A. I did not personally investigate that;</li> <li>that's correct. I relied upon the laws of</li> <li>probability.</li> <li>Q. Is that another way of saying you relied</li> </ul>	4 5 6 7 8 9 10	<ul> <li>BY MR. COHEN:</li> <li>Q. That's a fair point. A significant portion of the time it's done by observation?</li> <li>A. Yes.</li> <li>Q. What's the error rate when survey researchers make that observation?</li> <li>MR. AWERBUCH: Objection.</li> </ul>
4 5 6 7 8 9 10	<ul> <li>assumption you're making is, it would be fair to say</li> <li>it's an assumption; you did not personally</li> <li>investigate those?</li> <li>A. I did not personally investigate that;</li> <li>that's correct. I relied upon the laws of</li> <li>probability.</li> <li>Q. Is that another way of saying you relied</li> <li>upon assumptions that you believed to be well</li> </ul>	4 5 6 7 8 9 10 11	<ul> <li>BY MR. COHEN:</li> <li>Q. That's a fair point. A significant portion of the time it's done by observation?</li> <li>A. Yes.</li> <li>Q. What's the error rate when survey researchers make that observation?</li> <li>MR. AWERBUCH: Objection.</li> <li>THE WITNESS: Well it depends on what the</li> </ul>
4 5 6 7 8 9 10 11 12	<ul> <li>assumption you're making is, it would be fair to say it's an assumption; you did not personally investigate those?</li> <li>A. I did not personally investigate that; that's correct. I relied upon the laws of probability.</li> <li>Q. Is that another way of saying you relied upon assumptions that you believed to be well founded?</li> </ul>	4 5 6 7 8 9 10 11 12	<ul> <li>BY MR. COHEN:</li> <li>Q. That's a fair point. A significant portion of the time it's done by observation?</li> <li>A. Yes.</li> <li>Q. What's the error rate when survey researchers make that observation?</li> <li>MR. AWERBUCH: Objection.</li> <li>THE WITNESS: Well it depends on what the instructions arement if they're instructs to ask</li> </ul>
4 5 6 7 8 9 10 11 12 13	<ul> <li>assumption you're making is, it would be fair to say</li> <li>it's an assumption; you did not personally</li> <li>investigate those?</li> <li>A. I did not personally investigate that;</li> <li>that's correct. I relied upon the laws of</li> <li>probability.</li> <li>Q. Is that another way of saying you relied</li> <li>upon assumptions that you believed to be well</li> <li>founded?</li> <li>MR. AWERBUCH: Objection.</li> </ul>	4 5 6 7 8 9 10 11 12 13	<ul> <li>BY MR. COHEN:</li> <li>Q. That's a fair point. A significant portion of the time it's done by observation?</li> <li>A. Yes.</li> <li>Q. What's the error rate when survey researchers make that observation?</li> <li>MR. AWERBUCH: Objection.</li> <li>THE WITNESS: Well it depends on what the instructions arement if they're instructs to ask when they're uncertain the error rate is very small.</li> </ul>
4 5 6 7 8 9 10 11 12 13 14	<pre>assumption you're making is, it would be fair to say it's an assumption; you did not personally investigate those? A. I did not personally investigate that; that's correct. I relied upon the laws of probability. Q. Is that another way of saying you relied upon assumptions that you believed to be well founded? MR. AWERBUCH: Objection. THE WITNESS: Well it's not an assumption.</pre>	4 5 6 7 8 9 10 11 12 13 14	<ul> <li>BY MR. COHEN:</li> <li>Q. That's a fair point. A significant portion of the time it's done by observation?</li> <li>A. Yes.</li> <li>Q. What's the error rate when survey researchers make that observation?</li> <li>MR. AWERBUCH: Objection.</li> <li>THE WITNESS: Well it depends on what the instructions arement if they're instructs to ask when they're uncertain the error rate is very small.</li> <li>If if people are not asking that question, then you</li> </ul>
4 5 6 7 8 9 10 11 12 13 14 15	<ul> <li>assumption you're making is, it would be fair to say it's an assumption; you did not personally investigate those?</li> <li>A. I did not personally investigate that; that's correct. I relied upon the laws of probability.</li> <li>Q. Is that another way of saying you relied upon assumptions that you believed to be well founded?</li> <li>MR. AWERBUCH: Objection. THE WITNESS: Well it's not an assumption. I mean laws of probability are the laws of</li> </ul>	4 5 6 7 8 9 10 11 12 13 14	<ul> <li>BY MR. COHEN:</li> <li>Q. That's a fair point. A significant portion of the time it's done by observation?</li> <li>A. Yes.</li> <li>Q. What's the error rate when survey researchers make that observation?</li> <li>MR. AWERBUCH: Objection.</li> <li>THE WITNESS: Well it depends on what the instructions arement if they're instructs to ask when they're uncertain the error rate is very small.</li> <li>If if people are not asking that question, then you could find maybe 5 percent of the cases where the</li> </ul>
4 5 6 7 8 9 10 11 12 13 14 15 16	<ul> <li>assumption you're making is, it would be fair to say it's an assumption; you did not personally investigate those?</li> <li>A. I did not personally investigate that; that's correct. I relied upon the laws of probability.</li> <li>Q. Is that another way of saying you relied upon assumptions that you believed to be well founded?</li> <li>MR. AWERBUCH: Objection. THE WITNESS: Well it's not an assumption. I mean laws of probability are the laws of probability. I relies on their their operating as</li> </ul>	4 5 6 7 8 9 10 11 12 13 14 15 16	<ul> <li>BY MR. COHEN:</li> <li>Q. That's a fair point. A significant portion of the time it's done by observation?</li> <li>A. Yes.</li> <li>Q. What's the error rate when survey researchers make that observation?</li> <li>MR. AWERBUCH: Objection.</li> <li>THE WITNESS: Well it depends on what the instructions arement if they're instructs to ask when they're uncertain the error rate is very small.</li> <li>If if people are not asking that question, then you could find maybe 5 percent of the cases where the gender may be miss identified in a telephone call.</li> </ul>
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$\begin{array}{c} 4\\ 5\\ 6\\ 7\\ 8\\ 9\\ 10\\ 11\\ 12\\ 13\\ 14\\ 15\\ 16\\ 17\\ 18\\ 19\\ 20\\ 21\\ 22\\ 23\\ 24\\ \end{array}$	<ul> <li>assumption you're making is, it would be fair to say it's an assumption; you did not personally investigate those?</li> <li>A. I did not personally investigate that; that's correct. I relied upon the laws of probability.</li> <li>Q. Is that another way of saying you relied upon assumptions that you believed to be well founded?</li> <li>MR. AWERBUCH: Objection. THE WITNESS: Well it's not an assumption. I mean laws of probability are the laws of probability. I relies on their their operating as we would expect them to operate.</li> <li>BY MR. COHEN:</li> <li>Q. Reliance on the belief that at a survey research firm is operating as you would expect them to operate with respect to the gathering of data is typical in survey research?</li> <li>A. Can you read that back read read.</li> </ul>	4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24	<ul> <li>BY MR. COHEN:</li> <li>Q. That's a fair point. A significant portion of the time it's done by observation?</li> <li>A. Yes.</li> <li>Q. What's the error rate when survey researchers make that observation?</li> <li>MR. AWERBUCH: Objection.</li> <li>THE WITNESS: Well it depends on what the instructions arement if they're instructs to ask when they're uncertain the error rate is very small.</li> <li>If if people are not asking that question, then you could find maybe 5 percent of the cases where the gender may be miss identified in a telephone call.</li> <li>BY MR. COHEN:</li> <li>Q. In the situation where individuals are instructed researchers are instructed to ask if they are uncertain, what's the basis for your assertion that the error rate in that situation is very small?</li> <li>A. I I've done survey research using telephone interviewing for more than 30 years and have seen</li> </ul>

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1 2 3	<ul><li>Q. Can you identify some of those studies for me now?</li><li>A. Not off the top of my head. Some of them go</li></ul>	2	<b>subject are you?</b> A. If I'm asked to render an opinion I may. I have data that would speak to that question.
4	back to my days in advertising. They would not have	4	Q. What data do you have that would speak to
5	been published studies but they would have been	5	1
6	research that we did in the context of the	6	A. Well we did capture gender in my survey and
7	advertising research I was engaged in.	7	and so we could do an analysis of people's responses
8	Q. Were the survey researchers in your survey	8	by gender. I have not done that.
9	instructed to inquire if based on observation they	9	Q. That you haven't done that withdrawn. It's
10			not in your report at moment correct?
11	A. They were. It's a part of their general	11	A. It is not.
12	training, that if they can't determine, then they	12	Q. And you haven't yet been asked to do that
13	should ask the question.		correct?
14	Q. How would you establish that that is a part	14	
15	8	15	Q. It's is the case isn't it that
16	A. Well we'd have to look at the nature of the	16	
17	training they receive.	17	6 percent of the population?
18	Q. Is that something that was produced to the	18	A. Approximately. I don't know the decimal
19	Federal Trade Commission?	19	
20	A. No it was not.	20	Q. Do they make up approximately 12 percent of
21	Q. Is that something you possess?	21	the population of persons 66 or older?
22	A. I don't believe I possess a copy.	22	A. I I haven't looked at that recently I
23	Q. Let me direct you to Exhibit 2 which I	23	don't know.
24		24	Q. More broadly, is the ethenografic make up of
_25	questions and specifically Stwo, it states record	25	the population consistent across age groups 18
	98		100
1	gender from observation correct?	1	through 34, 35 through 49, 50 through 65 and 66 and
2	A. That's correct.	2	
3	Q. It doesn't say inquire if you're uncertain	3	A. You're going to have to read that bck
4	does it?	4	A. Do you mean in my survey read read.
5	A. No it does not.	5	Q. No I mean across the population?
6	Q. Is there are other survey questions in	6	A. Then I'm lost because I don't know what
7	Exhibit 2 and I'll give you an example but let's go	7	you're asking.
	to question one for instance. You would agree with	8	Q. Let's approach it this way and for the next
9	me would you not in question one there's a specific	9	series of question we're talking about the
10	instruction that is given to the researcher about	10	population we can put your survey to the side for
11	how to act depending on what answer they receive	11	the moment. You would agree with me that there are
12	correct?	12	many ethnographic groups in the United States;
13	A. Well there's an instruction about probing	13	correct?
14	and they were given the specific probe to use. And	14	A. Certainly.
15	they were given instructions about how to record the	15	Q. And we discussed earlier that 12 percent of
16	response yes.	16	the population overall is African-American correct?
17	Q. And there's no instruction about probing if	17	A. That's correct.
18	the researcher is uncertain about the respondents	18	Q. And you testified that you weren't sure one
19	gender is there?	19	way or the other whether they afternoon Americans
20	A. No there's not.	20	also make up 12 percent of the population of 65 and
21	Q. Have you conducted any analysis of any sort	21	solder. I don't know as I sit here today?
22	regarding whether persons of different genders	22	Q. So you don't know to phrase it differently
23	understand the term biodegradable differently?	23	whether with respect to African-Americans, the
	understande the term biodegraduble unterentige		
24	A. I have not.	24	ethgraphic make up of the population six or older is
24 25		24	ethgraphic make up of the population six or older is the same as it is with respect to the population at

,	101		PUBLIC DOCUMENT 103
1	large?	1	behind doing so was to simply assure a reasonable
2	A. I if I understand the question I think the	2	disPersian across the age categories.
3	answer is no.	3	Q. You mentioned that part of the goal was to
4	Q. So putting aside African-Americans as one	4	assure minimum representation. Why wouldn't the
5	particular ethno graphic group is the ethnographic	5	goal be to assure as close to optimal representation
6	make up of the population consistent across age	6	as possible?
7	groups 18 to 34, 35 to 49, 50 to 65, and 66 and	7	A. Because I didn't think that that was
8	older?		necessary given the topic.
9	MR. AWERBUCH: Objection.	9	Q. And why didn't you think it was necessary
10	THE WITNESS: If what you're asking is are there different percentages of various ethnic groups	10 11	given the topic?
11 12	within different age categories the answer is yes.	11	A. Because I wasn't interested in specific age differences. I was interested in peoples general
12	BY MR. COHEN:	12	understanding of the term biodegradeable,
13	Q. You actually your articulation is much	14	biodegradeable, and I simply wanted a reasonable
15	better than mine.		representative and diverse set of age rainings I
16	The ethnographic makeup of the population of	16	wasn't trying to match the population of the United
17	persons 56 or older is disproportionately white	17	States.
18	isn't it?	18	Q. The quota for people 66 and over was a
19	A. I believe that's correct.	19	hundred 15 out of four hundred correct?
20	Q. A survey that over includes people that	20	A. I think that's correct yes.
21	includes people 66 and older would under include	21	Q. A hundred four people were excluded because
22	minorities correct?	22	you'd exceeded the quota for people 66 and older
23	A. It may yes.	23	correct?
24	Q. The ethnographic makeup of the population of	24	A. That's correct.
25	persons 50 to 55 is disproportionately white isn't	25	Q. The quota for people 50 to 65 was a hundred
	102		104
1	it?	1	15 out of four hundred correct?
2	A. Yes again if you're defining if you're	2	A. I'm sorry.
3	defining white as to exclude Hispanics for example,	3	Q. I apologize I'll just repeat the question
	yes.		······································
5	Q. A survey that over includes persons 50 to 65 would under include minorities including Hispanics	5	A. Yeah.
6 7	correct?	67	Q. The quota for people 50 to 65 was a hundred 15 out of four hundred correct?
8	A. That would be correct.		A. That's correct.
9	Q. Have you conducted any analysis of any sort	9	Q. 41 people were excluded for exceeding that
10	regarding whether minorities understand the term	10	
11	biodegradeable differently?	11	A. That's correct.
12	A. I have not.	12	Q. The percentage of respondents in your survey
13	Q. You're not offering any opinion on that	13	that were 66 and over is 29 percent correct?
14	subject are you?	14	A. I believe that's correct.
15	A. I am not.	15	Q. What percentage of the population of
16	Q. You set quotas for how many people 66 and	16	consumers aged 15 and older do people 66 and older
17	older could participate in your survey correct?	17	I Contraction of the second seco
18	A. I did.	18	A. I'm sorry. I you're going to have to repeat
19	Q. And what were those quota, was that quota	19	
20	based?	20	MR. COHEN: Ma'am would you read it back
21	A. Well the quota was based on a desire to	21 22	read read.
22 23	assure some minimum representation of various age groups and was and they were not hard quotas, they	22	THE WITNESS: As you sit here today I really can't tell.
	were a range, and I as I sit here today I don't	23	BY MR. COHEN:
/4			
	recall the specific range but the idea and purpose	25	Q. You that's not something you consider when

	105		PUBLIC DOCUMENT 107
1	preparing your report?	1	24 percent of the population of American consumers
2	A. It was not. I I didn't even look at	2	aged 15 and older would you have any reason to
3	consumers under 18.	3	disagree with me.
4	Q. Let me rephrase the question to make sure	4	A. Again that sounds about right I haven't
5	that, and I don't mean to be excessively anytime	5	looked recently at population demographics.
6	picky here but what population of the consumers aged	6	Q. And just so that the record is clear and I
7	18 and over to people 66 and over represent?	7	apologize for asking you a question where I think I
8	A. As I sit here today I don't recall that	8	already know the answer, what percentage of the
9	either.	9	population of consumers aged 18 and older do people
10	Q. And that's not something you considered when	10	50 to 65 represent?
11	preparing your report?	11	A. Again as I sit here today, I I can't tell
12	A. I didn't give it a great deal of thought no.	12	you.
13	Q. You didn't give it any thought or not a	13	Q. That's not something you considered when
14	great deal of thought?	14	preparing your report?
15	Q. What thought did you give it?	15	A. I didn't consider that specific fact. I
16	A. Well I did give it some thought at the time	16	mean as I said I did consider it in the sense of
17	I established quotas but I was more concerned with	17	trying to establish reasonable quotas for the
18	establishing you know representation, adequate	18	sample.
19	representation in the various age categories and not	19	Q. Have you conducted any analysis of any sort
20	with mapping the exact demographics of my sample	20	whether persons of different ages understand the
21	into the population.	21	term biodegradeable differently?
22	Q. If I told you will that the percentage of	22	A. I have not.
23	consumers aged 15 and older represents around 18	23	Q. You're not offering any opinion on that
24	percent of the population of American consumers	24	subject are you?
25	would you have any reason to disagree with me.	25	A. I have not been asked to offer an opinion.
	106		108
1	A. Let me be sure I understood the question,	1	Again it's something for which we have survey data
2	that consumers 15 years and older represent.	2	that could be used to inform the quell but I have
3	Q. No I misspoke you're absolutely right. If I	3	not been asked to address it.
4	told you that the percentage of consumers who are 66	4	Q. Photocopy you were provided with information
5	and older represents around 18 percent of the	5	suggesting that older Americans aged 50 and above
6	population of American consumers who are 15 and	6	have a different understanding of the terms
7	older, would you have any reason to disagree with	7	biodegradable than younger Americans would that
8	me?	8	affect your opinions in this case?
9	A. That sounds about right.	9	A. No.
10	Q. The percentage of respondents in your survey	10	Q. Why not?
11	that was 50 to 65 or that were 50 to 65 years of age	11	A. I've collected data on both groups. I have
12	was also 29 percent correct?	12	I have data. They're both represented here and to
13	A. I believe that's correct.	13	the extent that they are different then it would be
14	Q. What percentage of the population of	14	reflected in the data.
15	consumers aged 15 and older do people 50 to 65	15	Q. Would it affect the conclusions that you
16	represent?	16	
17	A. Again as I sit here today I I don't know the	17	A. I don't believe so.
18	answer to that and and I certainly don't know for 15	18	Q. So even if we assume that older Americans
19	or 18.	19	have different views with respect to what the term
20	Q. That's not something you considered when	20	biodegradeable means and over we further assume
21	preparing your report correct?	21	that older Americans are over represented in your
22	A. No only in the most general sense of	22	survey. That would not affect your conclusions?
23	thinking about establishing quotas.	23	A. No it would not
24	Q. If I told you will that the population of	24	Q. And why not?
25	American consumers between 50 to 65 represent around	25	A. Because we have data on various age groups

27 (Pages 105 to 108)

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1 we could look at the degree to which there may be 1 consumers aged 15 and older so not just those 2 age differences. I frankly don't think there are 2 between 15 and 18, but 15 basically to the end of any based on my reading of the responses but as I 3 you are an American consumer the population in your 3 4 said earlier I haven't done a specific analysis by survey is un representative at least because 4 5 age. 5 Americans 15 and older are over represented? 6 Q. What if that analysis were done and 6 MR. AWERBUCH: Objection. 7 demonstrated that Americans below the age of 50 had THE WITNESS: Are you saying 50 or 15? 7 8 different views with respect to what biodegradeable 8 MR. COHEN: Ma'am can you read back the 9 meant? 9 question please read read. MR. COHEN: I misspoke. 10 10 A. And what? 11 Q. Would that affect your conclusions? 11 THE WITNESS: Okay. A. Well it would depend on what the differences 12 BY MR. COHEN: 12 13 were. It may or may not. They could be uncertain 13 Q. You're absolutely right. So the end of the 14 in different ways but still be uncertain. They 14 question I'll try ask see if I can ask the whole 15 could be skeptical in different ways but still be question again. You'd agree that measured against 15 16 the actual population of American consumers aged 15 16 skeptical, it would really depend on what the nature 17 of the differences were. 17 and older the population in your survey is un 18 18 representative at least because Americans 50 and Q. What would be some examples of differences 19 where it would affect your overall conclusions? 19 over are over represented? 20 A. Well if one group categorcally greed on a 20 A. Okay. I would agree that is not particular definition of biodegradeable and another 21 representative of the actual age distribution of the 21 22 group did not, then I think that's a that's an 22 American population. Aged 15 and older yes. 23 interesting piece of information and might be 23 Q. Notwithstanding the fact that it is not 24 worth pointing out. 24 representative of the actual age distribution of the 25 25 American population of consumers it remains Q. Is that the only circumstance you can think 110 112 1 of where differences between the age groups might 1 sufficiently valid for the court to rely upon? 2 2 affect your conclusions? MR. AWERBUCH: Objection. 3 A. Well, I yes I think so. 3 THE WITNESS: Absolutely. Yes. 4 Q. You'd agree that measured against the actual 4 BY MR. COHEN: 5 Q. So let me take a step back. I'm just going 5 population of American consumers, ageded 15 and older the population in your survey is un 6 to re-ask the question that we had I had some 6 7 representative at least because Americans 50 and 7 difficulty articulating earlier but I want to make older are over represented. 8 sure that I don't get a different answer if I use 8 9 MR. AWERBUCH: Objection. 9 the word 18 instead of 15. You'd agree that 10 THE WITNESS: Well we keep using 15. I've 10 measured against the actual population of American been very clear that there was no one in the sample 11 11 consumers age 18 and older the population in your under 18. And so so they're not even in the sample 12 survey is un representative at minimum because 12 so the fact that they're not in the sample clearly Americans 50 and older are over represented? 13 13 means that they are they're not over weighted. 14 MR. AWERBUCH: Objection. 14 They're I mean they're not there. Many. 15 THE WITNESS: It is certainly the case that 15 16 MR. COHEN: Ma'am can you read back my 16 is un representative with respect to the actual question. Read read. Are. population demographics related to age. 17 17 18 THE WITNESS: You asked me if Americans 15 18 BY MR. COHEN: 19 and older are over represented they're not in my 19 Q. And not with stand being that feature they sample. They can't be overrepresented. 20 remain sufficiently valid for the court to rely 20 BY MR. COHEN: 21 21 upon? 22 22 Q. That's not what I asked? MR. AWERBUCH: Objection. 23 23 THE WITNESS: Yes it does. A. Okay. 24 Q. I'll ask it again. You'd agree that 24 BY MR. COHEN: 25 Q. Have we marked Exhibit 7? Let's take a look

25 measured against the actual population of American

	113		PUBLIC DOCUMENT 115
1	at Exhibit 7 Dr. Horizontal a copy four?	1	A. Off the top of my head, I I can't tell you.
2	A. Thank you.	2	And it would vary depending on how you defined
3	Q. And let me provide copies inform your	3	unemployed. People have left the labor force and
4	counsel do you recognize this document?	4	are unemployed but the unemployed statistics don't
5	A. I do, it's printed in a different fashion	5	reflect that. But it's generally thought the real
6	than I believe it was produced but it I do recognize	6	unemployment rate is somewhere in the vicinity of 12
7	it.	7	to 14 percent.
8	Q. And what is this document?	8	Q. The percentage of American consumers age 15
9	A. These are summary tabulations of the results	9	and and older who are unemployed is not something
10	of the survey.	10	you considered when you prepared this report is it?
11	Q. I direct you to the results for question S4.	11	A. It's not.
12	Which is do you or anyone in your household work for	12	Q. Have you conducted any analysis of any sort
13	any of the following is that correct?	13	regarding whether unemployed persons understand the
14	A. That's correct.	14	8 v
15	Q. 44 percent of the respondents in your survey	15	A. I have not.
16	was were coded as being quote retired slash	16	Q. You're not offering any opinion on that
17	unemployed slash disabled correct?	17	
18	A. That's correct.	18	A. I'm not.
19	Q. What percentage of American consumers aged	19	Q. Does disabled as it's used here in table S
20	15 and older are retired?	20	four, include only people who are too disabled to
21	A. As I sit here today I don't know.	21	work or does it include people with disabilities but
22	Q. That's not something you considered when you	22	who are employed?
23	prepared this report?	23	A. It could include people who are disabled and
24 25	<ul><li>A. I really didn't.</li><li>Q. Have you conducted any analysis of any sort</li></ul>	24	employed depending on how people interpreted the term.
		23	
	114		116
1	regarding whether retired persons understand the	1	Q. It would depend on how survey respondents
2	term biodegradeable differently?	2	interpreted the term?
3	A. I have not.	3	A. Yes generally I think they would interpret
4	Q. You're not offering any opinion on that		it in the sense of are you employed or not and
5	subject are you?	5	1 9 11
6	A. I have not, I have not been asked to offer	6	could interpret it differently.
/	such an opinion. The data would lend themselves to		Q. You're not sure one way or the other definitively?
8	doing an analysis of that but I have not done that	8	A. No I'm not.
9 10	analysis. Q. What percentage of Americans consumers	10	<b>Q.</b> Can you tell me how many of the 44 percent
10	agented 15 and older are disabled?	11	are disabled, how many are unemployed, and how many
12	A. I as I sit here today I don't know.	12	
13	Q. That's not something you considered when you	13	A. I cannot.
14	prepared your report?	14	Q. Does that data exist?
15	A. I really didn't.	15	A. I don't believe that's the way the question
16	Q. Have you considered any strike that. Have	16	
17	you conducted any analysis of any sort regarding	17	there was simply one category retired unemployed
18	whether disabled persons understand the term	18	disabled that people could select from the list of
19	biodegradeable differently?	19	organizations that people might work for or not work
20	A. I have not.	20	for.
21	Q. And you're not offering any opinion on that	21	Q. Put differently it's not possible to tell
22	subject are you?	22	how many are disabled how many are unemployed or how
23	A. I'm not.	23	many are retired based one the way the question was
0.4		24	ogladd

24 asked?

A. That's correct.

25

Q. What percentage of American consumers aged 24

25 15 and older are unemployed?

29 (Pages 113 to 116)

	117		PUBLIC DOCUMENT 119
1	Q. Is it possible to determine based on the	1	whether or not the results are different for retired
2	data produced to the FTC and also publicly available	2	unemployed disabled and the rest of the sample the
3	census data or other publicly available data that	3	data are available we could certainly do that
4	you're aware of, whether your survey overrepresents	4	analysis. I don't have any reason to believe that
5	people in the category defined as retired slash	5	6
6	unemployed slash disabled relative to the percentage	6	Q. You didn't ask consumers how much time it
7	of American consumers falling within that category.	7	would take for plastic labels biodegradeable to
8	A. It would probably be possible to find some	8	biodegrade did you?
9	census data that could be brought to bear for	9	A. I did not.
10	purposes of comparison.	10	Q. That's probative of the consumer per session
11	Q. How would we be able to do that if we're not	11	question at issue in this case isn't it?
12	able to tell how many persons are retired versus how	12	MR. AWERBUCH: Objection.
13	many persons in your survey were unemployed versus	13	THE WITNESS: It certainly is.
14	how many persons in your survey were disabled?	14	
15	A. Well we would need to find data that either	15	Q. Why didn't you ask consumers how much time
16 17	asks the question in the same way and this is a very common way to ask this question or we would need to	16	it would take for plastic labeled biodegradeable to biodegrade?
18	try to aggregate across multiple categories.	17	A. Because I was more interested in
10	Q. Can you aggregate across multiple categories	10	understanding what peoples general understanding of
	if a person is both unemployed and disabled?	20	biodegradability was near obtaining responses in the
20	A. You could get a rough estimate but you run	21	respondents own words that provided any caveats
22	risk of doing some double counting. We would only	22	qualifications contin general sees and we did get
23	count them once in response to this question but if	23	people talked about plastic specifically. We had
	you had data that broke things out retired	24	people who talked about other materials and I
	unemployed disabled a person might conceivably	25	· ·
	118		120
1	appear in more than one category.	1	questions about the understanding of
2	Q. Is there some piece of survey publicly	2	biodegradability in general which was the purpose of
3	available survey data that you can point me to where	3	
4	we could get an estimate of the percentage of the	4	very specific substance.
5	population of American consumers that fall within	5	Q. Are there any other reasons?
6	this category retired slash unemployed slash	6	A. That's the primary reason. I don't I don't
7	disabled?	7	think of any other reasons.
8	A. Not as I sit here today. As I said there	8	Q. You indicated that you were more interested
9	are this is a very common way to ask about this	9	
10	particular category of unemployment or employment.	10	fair pair phrase. You're more interested in
11	But I can't point you to a specific source today.	11	consumers views of biodegradability generally. Why
12	Q. Assume we can't tell one way or the other		
13	L L	13	A. Because I think that's the more relevant
14	1 1 0	14	question here. To the degree that there are, that
15	optimal proportion, your survey would still remain	15	people perceive there to be differences in the
	sufficiently valid for the court to rely upon it?	16	
17 18	A. Yes I believe so.	17 18	important to understand that. If you ask people only about one material focus people on only one
18 19	<ul><li>Q. And why is that?</li><li>A. We have, we have data across a range of</li></ul>	18 19	material you really don't get an understanding of
17	types of individuals, employed not employed, you	20	the rich necessary that's associated with the
20		20	understanding of biodegradability and that's what I
20 21		21	
21	know we can look at their responses broken out by	21 22	
21 22	know we can look at their responses broken out by whatever category we choose to put them in and	22	was really interested in. We pick up differences
21 22 23	know we can look at their responses broken out by whatever category we choose to put them in and determine whether or not there are differences so if	22 23	was really interested in. We pick up differences associated with materials in context in the
21 22 23 24	know we can look at their responses broken out by whatever category we choose to put them in and	22 23	was really interested in. We pick up differences associated with materials in context in the responses of the survey, to the survey, but we we

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23 information about context or material and you know

24 that that's the way the questions were framed and to

25 the extent that we got results that speak to context

1 by asking the more general open ended questions. 1 or speak to plastic or other materials I think Q. You weren't told by anyone that you should 2 that's relevant and important but again it's the focus on that topic were you? 3 more general understanding of biodegradability that 4 I think is really important here. MR. AWERBUCH: Objection. THE WITNESS: I wasn't, no I was not told 5 Q. Why not ask two sets of questions one 6 directed to understanding consumers general that I should focus on that topic. I was given two other surveys, one by the American plastics counsel 7 understanding of biodegradability and another asking and one by SYNOVATE and asked to evaluate those and easier to conduct specific questions such as how 8 asked you know how I would do those differently 9 much time it would take for plastic labeled easier 10 check check so they they guided my thinking and both 10 to conduct biodegradeable to biodegrade? of those dealt with the more general question of 11 A. Because that wasn't really within the scope 12 biodegradability and that's why I took the approach 12 of my assignment. I was really asked to evaluate 13 that I did. 13 the concept of biodegradability recollect to design 14 BY MR. COHEN: 14 a survey that would correct the flaws that are Q. Certain of the questions in APCO and sin 15 present in the Synovate survey and the APCO survey, 16 survey specifically asked consumers for estimates of 16 and that's what I did. 17 biodegradation times correct? 17 Q. And the scope of your assignment was defined A. They do check check. 18 by counsel? Q. You didn't ask consumers how much time it 19 A. My clients generally do define the scope of 20 would take for plastic labeled easier to conduct 20 my assignment yes. Even if they're attorneys. biodegradeable to biodegrade did you? 21 21 Q. And in this case specifically the scope of A. I did not. 22 your assignment was defined by counsel correct? Q. That's the primary consumer perception 23 A. That's correct. 24 24 question at issue in this case isn't it? Q. You would agree with me wouldn't you, that 25 well let me just ask one further question. There MR. AWERBUCH: Objection. 122 124 THE WITNESS: It's I think it's a subclass 1 isn't any reason why putting aside what the scope of of the question that's that's at issue in this case. 2 your assignment is and putting aside the fact that I think that there is a broader issue and that is 3 you have an obligation to comply with the scope of 4 what do people understand about biodegradability your assignment, there isn't any reason from the 4 generally. 5 standpoint of consumer perception research why one 6 BY MR. COHEN: could not ask both questions related to the general 6 7 understanding of biodegradability and then also ask Q. When you say it's a subclass of that issue, what do you mean by that? questions specific to how much time it would take a 8 plastic labeled easier to conduct biodegradeable to A. Well what I mean by that is if we're not 9 10 applying a term that demonstrably has many different 10 biodegrade correct? meanings to consumers in a specific context and I 11 11 MR. AWERBUCH: Objection. 12 don't think that you can interpret results obtained 12 THE WITNESS: You could you certainly could 13 for plastics or any other specific material alone 13 design a different survey that asks different questions. 14 without having a more general understanding of what 14 15 people understand the term biodegradability to mean. 15 BY MR. COHEN: Q. Is there any other reason why you didn't ask 16 Q. You would agree with me wouldn't you, I 17 consumers how much time it would take for a plastic think you've mentioned this I think already that 17 consumers understanding of what the word 18 labeled easier to conduct biodegradeable to 18 19 biodegrade? 19 biodegradeable means is central to this case? 20 A. I was interested as I've said before I was MR. AWERBUCH: Objection. 21 THE WITNESS: It's my understanding that it 21 interested in peoples general perceptions of 22 is yes. 22 biodegradability without putting in their heads any

> 23 BY MR. COHEN:

24 Q. Consumers understanding of what a word means

25 is always based at least to a degree on their prior

	125		PUBLIC DOCUMENT 127
1	belief about what the word means isn't it?	1	meant?
2	A. If they have a prior belief yes.	2	A. Yes.
3	Q. If an advertiser doesn't do anything one way	3	Q. And what is that?
4	or another to influence how consumers withdrawn.	4	A. Well I actually Googled the question how
5	It's the case that you had a screening question to	5	long does it take material to biodegrade and there
6	ask consumers in your survey whether or not they had	6	
7	a general understanding of what the phrase term	7	that's present. People have contributed to it.
8	biodegradeable means correct?	8	Some of this are blogs, some of it are these formal
9	A. That's correct.	9	websites. Some of it is is trade organizations.
10	Q. So at least with respect to the respondents	10	There's just an enormous amount of activity around
11	in your survey we're were not dealing with	11	the definition of this term so clearly clearly
12	individuals who had no prior belief as to what the	12	consumers are engaged in a conversation about about
13	term biodegradeable means?	13	this topic employ which suggests that people are
14	A. That's correct.	14	going on line and sharing information obtaining
15	Q. So if an advertiser doesn't do anything one	15	information.
16	way or another to influence how consumers understand	16	Q. Do you know one way or another whether those
17	a word, then those consumers understanding of that	17	consumers are doing that after being exposed to
18	word will come exclusivelily from their prior belief	18	marketing materials regard ECM plastic?
19	correct?	19	A. Do you know whether those consumers that
20	MR. AWERBUCH: Objection.	20	you're reference other represent any material
21	THE WITNESS: Well or the media or it could	21	portion of the population of American consumers.
22	be any number of other sources that may may come	22	MR. AWERBUCH: Objection.
23	into place, it's certainly prior beliefs are one of	23	THE WITNESS: I don't know what portion they
24	those.	24	may represent no.
25	BY MR. COHEN:	25	BY MR. COHEN:
	126		128
1	Q. Well prior beliefs are an amalgam of media	1	Q. Assume that an advertiser doesn't define the
2	things the consumer has seen on television, things	2	word free in it's ads. This is probably a problem
3	someone told the consumer recollect the consumers	3	you've confronted before. Consumers would
4	education and so forth you'd agree with that right?		understand free based solely on their prior beliefs
5	A. All of those things can influence prior	5	regarding that term correct?
6	beliefs yes.	6	MR. AWERBUCH: Objection.
7	Q. So if the advertiser doesn't do anything one	7	A. Unless there's other information available
8	way or another to influence how consumers understand	8	yes.
9	a word, then their understanding of what that word	9	
10	means will come exclusively from their prior beliefs	10	Q. Do you think it's likely the consumers would
11	however those prior beliefs were otherwise created?		Google was the word free means?
12	MR. AWERBUCH: Objection.	12	A. Some consumers might very well it's not at
13	THE WITNESS: No. Consumers very frequently	13	all difficult to find consumers sharing information
14	when confronted with something they don't understand	14	with one another. You know what does this mean and
15	pull out a smart phone go to the Internet and gather	15	obtain information from others. I don't know how
16	information. And that that wasn't a prior belief.	16	many people would do that but it's certain lip
17	It's it's an immediate communication that will	17	happens.
	influence their their perceptions. But it's not	18	Q. Let's assume that no material number of
	it's not a prior belief. It's another piece of information	19	consumers when confronted with an advertisement that
20	information.	20	says the word free Google what the word free means.

23

- 21 BY MR. COHEN:
- 22 Q. Do you have any evidence that suggests that
- 23 any consumer confronted with the claim easier to
- 24 conduct biodegradeable went online and googled or
- 25 researched what the word biodegradeable might have
- 24 Consumers understand the term free to mean no cost

21 And let's assume that the advertiser understands 22 free to mean that a promotional item is free but the

consumer will still pay shipping and handling.

25 of any kind. So do you understand that the

	129		PUBLIC DOCUMENT 131
1	framework that I'm asking to you assume?	1	(Whereupon, at the hour of
2	A. I do.	2	11:50 a.m., a luncheon recess was
3	Q. In this case, if an advertiser and consumers	3	taken, the deposition to be resumed
4	have a different understanding of what the word free	4	at 12:50 p.m.)
5	means, the advertiser has a burden or the burden to	5	
6	clarify what it means correct?	6	
7	MR. AWERBUCH: Objection.	7	
8	THE WITNESS: I think that's the case where	8	
9	if people didn't have an understanding and I believe	9	
10	they do, that free often excludes shipping and	10	
11	handling. That at some point in the purchase	11	
12	process it would be appropriate for the advertiser	12	
13	to indicate shipping and handling not included.	13	
14	BY MR. COHEN:	14	
15	Q. So if a material portion of consumers did	15	
16	not understand that free included shipping and	16	
17	handling then if I understood you correctly the	17	
18	advertiser would have a burden at some point in the	18	
19	purchase process to clarify that?	19	
20	A. I I think that is correct yes.	20	
21	Q. Let's take a look all the way back to	21	
22	Exhibit 1, your report in this case. Let me actual	22	
23	landfill just ask one follow-up question about the	23	
	hypothetical we were discussing. In the situation	24	
25	where the advertiser would have an obligation to	25	
	130		132
1	clarify at some point in the purchase process that	1	LOS ANGELES, CALIFORNIA; TUESDAY, JULY 1, 2014
2	shipping and handling is going to be assessed so	2	12:50 P.M.
3	it's not prix as some portion of consumers might	3	
4	understand that term if the advertiser fails to do	4	DAVID STEWART, Ph.D.,
5	that you would agree with me would you not that	5	having been previously duly sworn,
6	deception has occurred?	6	was examined and testified as follows:
7	MR. AWERBUCH: Objection.	7	
8	THE WITNESS: Well I have to put this in the	8	EXAMINATION
9	context of your hypothetical which is consumers	9	BY MR. COHEN:
10	don't have an understanding that shipping and	10	Q. Welcome back Mr. Stewart I hope you had a
11	handling is not included in the term free.	11	nice lunch. Did you speak with anyone during the
12	BY MR. COHEN:	12	lunch break regarding this deposition or this matter
13	Q. That was my hypothetical?	13	in any way?
14	A. If that is the case then I would agree with	14	A. No.
15	you.	15	Q. Just to back up something that I believe we
16	Q. Let's take a look at Exhibit 1 I believe	16	discussed earlier and again I don't want to
17	page 27?	17	mischaracterize prior testimony. If I understood
18	A. By the way when you get to a stopping point it would be give to take a brack	18	you correctly, one potential problem with adding additional questions to a telephone survey is that
19	it would be nice to take a break.	19	
20	Q. Do you need to do you want to take a	20 21	it makes the telephone survey longer. Did I understand that correctly?
21	lunch break. I mean this is a logical point.	21 22	MR. AWERBUCH: Objection.
22 23	A. At least a break.	22	THE WITNESS: Yes that's an issue. The
23 24	MR. COHEN: We'll go off the record. (A discussion was held off the record.)	23	length of a survey particularly on the telephone is
24 25	(A discussion was neid off the record.)		a cause of concern so the more questions you add the
<i>∠</i> J		25	a cause of concern so the more questions you add the



	133		PUBLIC DOCUMENT 135
1	longer it can get.	1	Q. Are you relying on any source other than the
2	BY MR. COHEN:	2	jest Richards book for the contention that deception
3	Q. And that is something that is of concern?	3	under the FTC act requires a false belief an
4	A. Well we either have to keep things short or	4	attributable to the action of the marketer?
5	we have to make some sort of effort to insent people	5	A. Yes.
6	to stay on the phone for a longer period of time.	6	Q. And what are those other sources?
7	Q. What do you mean insent people to stay on	7	A. It's the FTC standard.
8	the phone or a longer period of time?	8	Q. And can you be more specific please?
9	A. Well if we know it's going to be a half hour	9	A. I I can't point you to a specific
10	hour interview then it mates be necessary to	10	document. It it's available on the website. But it
11	preschedule that so we identify a time where we call	11	it's a well known well established FTC standard.
12	people back. We might need to compensate people	12	Q. You mean available on the FTCs website?
13	some sort of monetary incentive or some other	13	A. Yes.
14	incentive value that might get people to cooperate.	14	Q. Is there a particular case you can direct me
15	Q. Were any of your calls in your survey	15	to?
16	prescheduled calls?	16	A. Not as I sit here today I mean there there
17	A. No they were not.	17	is a document on the FTC standards for deception and
18	Q. Were any of the respondents compensated in	18	I I just can't point you to the particular source
19	any way?	19	at the moment.
20	A. No they were not.	20	Q. And your contention is that that document
21	Q. Let's go to Exhibit 1 which is your report	21	*
22	page 27 the last sentence in the first paragraph	22	requirement that the false belief be attributable to
23	thus my survey makes clear that two of the three	23	
24	criteria for finding a deception one a false belief	24	A. That's the standard yes.
25	attributable to the action of the marketer two	25	Q. Other than what you've characterized. The
	134		136
1	134 material to consumers is not present did I read that	1	136 Jeff Richards source and what you've characterized
1 2	material to consumers is not present did I read that	1 2	
-	material to consumers is not present did I read that	1 2 3	Jeff Richards source and what you've characterized
2	material to consumers is not present did I read that correctly?	1 2 3 4	Jeff Richards source and what you've characterized in a general way as FTC deception standards is there
2 3	<pre>material to consumers is not present did I read that correctly? A. Yes you did.</pre>	3	Jeff Richards source and what you've characterized in a general way as FTC deception standards is there negligent else that you're relying upon for that proposition? A. Well there's a very substantial literature
2 3 4	<ul> <li>material to consumers is not present did I read that correctly?</li> <li>A. Yes you did.</li> <li>Q. You refer in a footnote to Jeff Richards</li> </ul>	3 4	Jeff Richards source and what you've characterized in a general way as FTC deception standards is there negligent else that you're relying upon for that proposition? A. Well there's a very substantial literature in the market in the advertising area that deals
2 3 4 5	<ul> <li>material to consumers is not present did I read that correctly?</li> <li>A. Yes you did.</li> <li>Q. You refer in a footnote to Jeff Richards</li> <li>1990 deceptive advertising behavioral study of a</li> </ul>	3 4 5	Jeff Richards source and what you've characterized in a general way as FTC deception standards is there negligent else that you're relying upon for that proposition? A. Well there's a very substantial literature in the market in the advertising area that deals with deception. I'm not pointing to any one of
2 3 4 5	<ul> <li>material to consumers is not present did I read that correctly?</li> <li>A. Yes you did.</li> <li>Q. You refer in a footnote to Jeff Richards</li> <li>1990 deceptive advertising behavioral study of a legal concept is that correct?</li> <li>A. I do.</li> <li>Q. And the footnote says that that source will</li> </ul>	3 4 5	Jeff Richards source and what you've characterized in a general way as FTC deception standards is there negligent else that you're relying upon for that proposition? A. Well there's a very substantial literature in the market in the advertising area that deals with deception. I'm not pointing to any one of those documents or published papers but certainly
2 3 4 5 6 7 8 9	<ul> <li>material to consumers is not present did I read that correctly?</li> <li>A. Yes you did.</li> <li>Q. You refer in a footnote to Jeff Richards</li> <li>1990 deceptive advertising behavioral study of a legal concept is that correct?</li> <li>A. I do.</li> <li>Q. And the footnote says that that source will provide a discussion of the legal definition of</li> </ul>	3 4 5 6 7 8 9	Jeff Richards source and what you've characterized in a general way as FTC deception standards is there negligent else that you're relying upon for that proposition? A. Well there's a very substantial literature in the market in the advertising area that deals with deception. I'm not pointing to any one of those documents or published papers but certainly knowledge of that literature informs my opinion.
2 3 4 5 6 7 8 9 10	<ul> <li>material to consumers is not present did I read that correctly?</li> <li>A. Yes you did.</li> <li>Q. You refer in a footnote to Jeff Richards</li> <li>1990 deceptive advertising behavioral study of a legal concept is that correct?</li> <li>A. I do.</li> <li>Q. And the footnote says that that source will provide a discussion of the legal definition of deception and it's behavioral science foundations.</li> </ul>	3 4 5 6 7 8 9 10	Jeff Richards source and what you've characterized in a general way as FTC deception standards is there negligent else that you're relying upon for that proposition? A. Well there's a very substantial literature in the market in the advertising area that deals with deception. I'm not pointing to any one of those documents or published papers but certainly knowledge of that literature informs my opinion. Q. A control group isn't always necessary in
2 3 4 5 6 7 8 9 10 11	<ul> <li>material to consumers is not present did I read that correctly?</li> <li>A. Yes you did.</li> <li>Q. You refer in a footnote to Jeff Richards</li> <li>1990 deceptive advertising behavioral study of a legal concept is that correct?</li> <li>A. I do.</li> <li>Q. And the footnote says that that source will provide a discussion of the legal definition of deception and it's behavioral science foundations. Is that correct?</li> </ul>	3 4 5 6 7 8 9 10 11	Jeff Richards source and what you've characterized in a general way as FTC deception standards is there negligent else that you're relying upon for that proposition? A. Well there's a very substantial literature in the market in the advertising area that deals with deception. I'm not pointing to any one of those documents or published papers but certainly knowledge of that literature informs my opinion. Q. A control group isn't always necessary in consumer survey research is it?
2 3 4 5 6 7 8 9 10 11 12	<ul> <li>material to consumers is not present did I read that correctly?</li> <li>A. Yes you did.</li> <li>Q. You refer in a footnote to Jeff Richards</li> <li>1990 deceptive advertising behavioral study of a legal concept is that correct?</li> <li>A. I do.</li> <li>Q. And the footnote says that that source will provide a discussion of the legal definition of deception and it's behavioral science foundations.</li> <li>Is that correct?</li> <li>A. That's correct.</li> </ul>	3 4 5 6 7 8 9 10 11 12	<ul> <li>Jeff Richards source and what you've characterized in a general way as FTC deception standards is there negligent else that you're relying upon for that proposition?</li> <li>A. Well there's a very substantial literature in the market in the advertising area that deals with deception. I'm not pointing to any one of those documents or published papers but certainly knowledge of that literature informs my opinion.</li> <li>Q. A control group isn't always necessary in consumer survey research is it?</li> <li>A. No there's certain types of consumer survey</li> </ul>
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34 (Pages 133 to 136)

PUBLIC DOCUMENT 137 139 1 causation. 1 recall that generally? 2 Q. Were you trying to establish causation of 2 A. I do. 3 any sort in the survey that you conducted for ECM 3 Q. Is it your contention that there was no bio films? 4 4 adequate control for that question? 5 A. No. 5 A. I don't believe there was an adequate 6 control. I think an adequate control would have to 6 **Q.** Do you understand Professor Frederick to be attempting to establish causation in the survey that include something that examined what people 7 7 8 he conducted for complaint counsel? interpret the term biodegrade to mean. 8 9 Q. What would be question be that would 9 A. That's my understanding yes. 10 Q. That he was attempting to establish 10 correspond to the question I just asked that would 11 causation? 11 constitute an adequate control? 12 A. A relationship between peoples response to 12 A. Well again I -- I I have not been asked to the the ECM biofilms logo and certain beliefs yes. 13 design such ape survey and I haven't thought a great 13 14 Q. So are you contending and I'm not sure if 14 deal about it but I would think that there would be 15 you are, are you contending that Professor Frederick a need to use the term biodegrade as a part of the 15 16 should have used a control? 16 control in order to correct for pre-existing beliefs 17 A. Well if he's going to assess causation he 17 about the definition of the term. 18 should have used a control yes. 18 Q. Can you give me an example of what that 19 Q. What would you suggest that that control 19 question would sound like? 20 might have been? 20 A. It would sound very similar to the question 21 you just read me what would differ would be what 21 A. I haven't given that a great deal of 22 thought. I mean one approach could have been to 22 people are shown. 23 simply not use the ECM logo and simply put the term 23 Q. The question that I just read you was not a 24 biodegradeable and determine whether the action of question that was accompanied by any visual image? 24 25 the marketer in this case the ECM, produced a 25 A. Okay. 138 140 1 different kind of response than a response to the 1 Q. So if it's just a written question what 2 word alone. 2 would an adequate control be? A. Well I don't know because if it's just a 3 Q. Are you aware whether Professor Frederick 3 showed certain consumers plastic products that deny 4 written question, I'm not sure what the basis of 4 5 contain the ECM logo? 5 that information of an answer would be based on. 6 A. It was my understanding that he did yes. 6 O. It wouldn't be based on a consumers Q. And that he showed other sets of consumers 7 7 perception or understanding of how much time it about plastic products that did contain the ECM logo would take for plastic labeled ECM biodegradeable to 8 8 9 correct? 9 biodegrade? 10 A. That's my understanding yes. 10 A. Well it it would be based on what they Q. And why does that not constitute a control? 11 believe biodegrade means I don't know what the ECM 11 12 A. Well it could be a control. I'm not I I 12 buy oh film component ads. If people are not aware don't think I'm following your question. The issue 13 of that they have no basis for answering that 13 14 is you know what are you controlling for? It's my 14 question. 15 understanding that that and I'd have to go back and 15 Q. One circumstance when a control would not be 16 look at his mini surveys but that some of the 16 used is when it's unclear when strike that. One surveys were such that they used the buy oh film circumstance when a control would not be used is 17 17 18 logo and some did not but I don't remember all the 18 when it's unclear what would constitute an adequate 19 specifics of what was done. 19 control correct? 20 Q. Professor Frederick asked consumers in 20 MR. AWERBUCH: Objection. 21 substance how much time would it take for plastic 21 THE WITNESS: Well, certainly if you can't 22 label BCM Biodegrade to -- strike that. think of what a control would be, you can't very 22 23 In substance Professor Frederick asked

- In substance Professor Frederick asked
   well design one in but the fact that you don't have
   consumers how much time it would take for plastic
   a control puts you in a position where the inference
- 25 label ECM Biodegradable to biodegrade. Do you 25 of causality is is really problematic so it's
  - 35 (Pages 137 to 140)

	141		PUBLIC DOCUMENT143
1	certainly the cause that you may have situations	1	I think those provide a baseline that of responding
	where you don't know what the control might be and		that is independent of any reference to the
3	obviously you can't just show people a blank piece	3	Econsiders M bio film product.
4	of paper but the that makes it very difficult to	4	Q. So if Professor Frederick had in fact asked
5		5	the questions that you just described then there
6	BY MR. COHEN:	6	would be adequate control?
7	Q. What is the inference that you understand	7	A. Perhaps. Again I would need to see the full
8	Professor Frederick to be making with respect to	8	design, what people were asked, and and how the
9	cause at when he collected data regarding how much	9	analysis was done but certainly that would get
10	time consumers believed it would take for plastic	10	closer to a control.
11	products labeled ECM biodegradeable to biodegrade?	11	Q. You did review Professor Frederick study in
12	A. Well I think what he is attempting to do is	12	preparation for this deposition?
13	to draw inferences about what the ECM buy oh film	13	A. Yes, I did.
	product, it's label, it's logo, information about	14	Q. You didn't use a control in any of the work
15	it, implies to consumers.	15	you performed for ECM correct?
16	Q. If I understand you correctly and I think	16	A. I did not I was not trying to make any
17	maybe I don't, but if I understand you correctly you		inferences about causality.
18	seem to be testifying that Professor Frederick's	18	Q. Do you contend that Professor Shane
19	question which I've just paraphrased was assessing	19	Frederick is biassed?
	how consumers understood the language that was	20	A. I.
21	presented to them?	21	MR. AWERBUCH: Objection.
22	A. I think in some cases, the difficulty I'm	22	THE WITNESS: I think that the approach he
	having is that Professor Frederick asked a lot of	23	took to the analysis demonstrates a lack of
	different questions and I don't know specifically	24	objectivity so to that degree yes I think there's
_25	which one you're referring to and so if we really	25	bias.
	142		144
1	want to get into the specifics you know we're going	1	BY MR. COHEN:
2	to have to actually look at what was done, what was	2	Q. Have you contending that Professor
3	shown the respondent and what question was asked.	3	Frederick's approach lacks objectivity or that
4	It you know there's just too much data there for me	4	Professor Frederick lacks objectivity?
5	to do justice to an answer from memory without	5	A. Well I can't speak to his personality
6	having the.	6	characteristics. I think his approach the way he's
7	Q. Let's assume that Professor Frederick did in	7	gone about his analysis lacks objectivit.
8	fact ask how much time would it take for plastic	8	Q. Would another way to say this be that
9	label ECM Biodegradable to biodegrade?	9	Professor Frederick lacks objectivity because his
10	A. Without showing people anything.	10	
11	Q. Without showing people anything.	11	A. I'm not sure that's the way I would say it I
12	A. Okay.	12	certainly think his methodology lacks objectivity.
13	Q. What's the causal inference that you	13	Q. I'm not sure that I understand the
14	understand Professor Frederick to be attempting to	14	difference. You've testified that Professor

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A. That's correct.

18 his methodology lacks objectivity?

- understand Professor Frederick to be attempting to 15 Frederick's methodology lacks objectivity. Correct?
- 15 draw from the results to that survey?
- A. That that statement causes consumers to 16
- infer something about the length of time that the 17 18 product will take to biodegrade.
- 19 Q. And what would be the control necessary in 20 your mind to give that question sufficient validity? A. I would probably remove the reference to the 21 22 specific product and simply ask as I did in my survey how long do you think it would take for 23
- something to degrade. I might even go so far as to 24
- 25 ask how long would it take for plastic to degrade.
- 24 clear that he has failed to code items responses
- 25 that people gave that are clearly relevant such as I

Q. And what is the basis for your belief that

and his coders were very much involved in the in the

coding and both were very much aware of what they

were what they were hoping to find. It's also very

A. Well there's several. I mean first of all,

20 the work that he did was not double blind. Both he

147

145

	115		
1	don't know, it depends, and has coded some other	1	I'm going to read what it says. I'm obviously doing
2	responses that are you know at best sillily, he's	2	that because that's what it says. I'm in no respect
3	adopted a coding system that I think serves to in	3	endorsing this. On the second full sentence on the
4	analytic system serves to inflate his findings with	4	page it is quite possible for our respondent for a
5	respect to how long it takes for something	5	Google survey to be an eight year old or a male
6	particularly plastic to biodegrade.	6	pretending to be a woman did I read that correctly?
7	Q. Methodology aside do you have any other	7	A. Yes you did.
8	basis for your contention that Professor Frederick	8	Q. What's wrong with including in a survey of
9	lacks objectivity?	9	American consumers men pretending to be women?
10	A. No. I what I what I'm addressing and what I	10	A. Because they are not who they are and by
11	addressed in my report really went to the question	11	definition they are there to perpetuate a ruse and
12	of the objectivity of the approach and the	12	so I would be we very reluctant to accept a response
13	methodology to the research that's reported. It's	13	by someone pretending to someone they are not. I
14	not a statement about a personality characteristic.	14	think it would call into question the validity of
15	Q. If it were established that your methodology	15	that that information that they supply.
16	was improper, would that mean that you lack	16	Q. How do you know that none of the respondents
17	objectivity?	17	to your consumer survey were men pretending to be
18	MR. AWERBUCH: Objection.	18	women?
19	THE WITNESS: No not at all. It I mean	19	A. Because we actually had a live interviewer
20	things can be improper and to be quite objective I	20	who was in contact in talking with the respondents
21	mean things can be improper for many reasons, a lack	21	so it's highly improbable. Is it possible? I
22	of objectivity might be one of them but there are		suppose but highly improbable.
23	many reasons why a piece of research may not be	23	Q. Why do you believe it's more improbable over
24	valid that have little to do with whether the		the phone than over the Internet?
_25	researcher is objective or not.	25	A. Well because on the Internet we know that
	146		148
1	BY MR. COHEN:	1	many people develop different person as at nettites
2	Q. Can an expert lack objectivity yet conduct a	2	there's a pseudonym for emails there's a whole
3	methodologically sound survey?	3	industry that sells people privacy protection and
4	A. Yes I think so.	4	and temporary email addresses all for the purpose of
5	Q. Can an expert conduct a methodology I can		people one being able to protect their privacy and
	flawed survey yet be objective?		two being able to pretend to be someone that they're
7	A. Yes I think so.	7	not. Well documented phenomena.
8	Q. You testified that if it were to be	8	Q. There could though be men pretending women
9	established that your methodology was improper that	9	who answer phone calls that?
10	would not necessarily mean that you lack objectivity	10	A. Could happen but it's less likely because we
11	correct?	11	have real interaction between two human beings.
12	A. That's correct.	12	Q. And how would that real interaction be able
13	Q. What is it about your critiques about	13	to guard against again I don't like the language but
14	professor Frederick's methodology are that suggests	14	men pretending to be women?
15	to you that he lacks objectivity?	15	A. The voice should help identify who the
16	A. I think I've answered this question. As	16	person is that the interviewer is talking to. We
17	I've indicated I think the failure to code what are	17	don't have that cue available on the Internet. We
18	clearly relevant answers serves to bias the results	18	also don't have a lot of data that suggests that
19	in a particular direction. I think the way he has	19	when people are called on phone surveys that they
20	coded some of the responses serves to bias the	20	assume alternative identities. We do have pretty
21	results in a particular direction. Those are those	21	good evidence that happens frequently on the
22	are the bases for my opinion.	22	Internet.
23	Q. Let me direct you to paragraph excuse me	23	Q. Has there been research done as to whether
24	page 30 of your report. I apologize page 11 of your	24	people participating in phone surveys sometimes give
25	report. I need to make it clear for the record that	25	inaccurate demographic information?

37(Pages<sup>1</sup>145 to 148)

,	149		PUBLIC DOCUMENT 151
1	A. Yes there is.	1	A. I'm generally familiar with them I don't
2	Q. Has there been research regarding whether	2	think they provide a comprehensive list of the
3	respondents on telephone surveys sometimes give an	3	content providers I think they provide general
4	accurate information regarding their gender?	4	categories.
5	A. They can do that yes.	5	Q. Do you know whether they provide any
6	Q. With when your report states that it's quite	6	specific examples at all?
7	possible for a respondent to be a man pretending to	7	A. I'm not aware of any and it has been
8	a woman, what does quite possible mean?	8	changing over time in the two years that it's been
9	A. What I really mean there is that there's no	9	in existence.
10	control at all there's no ability to determine who	10	Q. You don't know one way or the other whether
11	the individual is at the other end of the survey.	11	Google consumer surveys uses content providers that
12	Unlike well constructed well maintained Internet	12	are likely to appeal to small children do you?
13	consumer panels where there is an effort made to	13	MR. AWERBUCH: Objection.
14		14	THE WITNESS: I don't have specific
15	in surveys, in Google survey there's no ability to	15	information but they do use sites that they
16		16	6
17	the survey.	17	that they categorize as sports. Those would be
18	Q. When you say no ability, you mean absolutely	18	appealing to younger children.
19	no ability or no ability that's sufficiently	19	BY MR. COHEN:
20	reliable in your mind?	20	Q. Out of more that 28 thousand respondents in
21	A. In my view at this stage in the development	21	Professor Frederick surveys how many would have to
22	of Google consumer survey, I don't think there is	22	be small children before the results are no longer
23	sufficient ability for any given survey to identify	23	probative of questions before the court?
24	<b>2</b> 1	24	MR. AWERBUCH: Objection.
_25	allow a conclusion that the survey is in any way	25	THE WITNESS: The mere possibility that that
	150		152
1	valid.	1	could half invalidates the entire survey.
2	Q. Please quantify the probability that any	2	BY MR. COHEN:
3	given respondent was a man pretending to be's woman?	3	Q. So if it were established let's assume that
4	A. I can't qualify you. I'm for you. I'm	4	some how we had the ability to know this beyond any
5	simply giving you I gave you two examples of how	5	
6	somebody could pretend to be who they are not.	6	responded to one of Professor Frederick's questions
/	There are many other ways people could pretend to be		and no one else below the age of 15 had responded.
8	who they are not. The problem is there's simply no		That would invalidate the entire survey?
9	way with Google consumer survey at least as it is used today to verify the identity of the respondent	9	A. Well no because you've no provided more
10		10	information because now you've actually suggested
11 12	constructed and well maintained Internet consumer	11 12	there's an eight year old and that everybody else is not an eight year old. Now we can now we can parse
12		12	the data, we can say awe somebody slipped in, we now
13	Q. When the report states that it's quite	13	have data on that. The problem with the Google
15	possible for a respondent to be an eight year old	15	consumer survey is we don't know that. We don't
16		15	· · · · · · · · · · · · · · · · · · ·
17	A. That it's possible that there could be an	17	no way of we have no way of knowing that.
18	eight year old among the respondents.	18	Q. So we if I understand your testimony
19	Q. Can you quantify the possibility?	19	correctly we have no way of knowing whether one out
20	A. I didn't attempt to quantify the	20	of every 28 was an eight year old?
21	possibility. It simply making the point that there	21	MR. AWERBUCH: Objection.
22	is no way that you could control for that given the	22	THE WITNESS: We have no way to verify that
23	way that Google consumer survey operates.	23	characteristic. That is correct.
24	Q. Are you familiar with the content provider	24	BY MR. COHEN:
25	Google survey uses?	25	Q. Even assuming it would be possible to make
			28 <b>CX-A:1</b> 140 to 152)

38 (Pages 149 to 152)

	153		PUBLIC DOCUMENT 155
1	reasonable assumptions about that information, the	1	related to the surveys.
2	inability to know for certain invalidates the entire	$\begin{vmatrix} 1\\2 \end{vmatrix}$	Q. Who do you communicate with at Google?
3	survey?	$\begin{vmatrix} 2\\ 3 \end{vmatrix}$	A. We have a couple people who sit on our board
	•	4	of visors for something we call the M school. It's
4	A. Well I don't know what assumptions you would	_	an interactive digital branding program that we have
-	make you can certainly make assumptions as you did	5	
6	that there's only only identifiable eight year old		on campus and we have representatives at the local
7	and if you if you know that then I think you change		office who are part of the advisory group.
8	the character of the data but as long as there is no		Q. What does that advisory group do?
9	way to identify that individual or the number of	9	A. It gives us advice on our curriculum. They
	individuals who meet that characteristic, then it's		do some team teaching with our faculty. They raise
11	an invalid survey.	11	interesting research questions with us.
12	Q. So you need to know precisely the number of	12	Q. Have you ever conducted a survey on Google
13	individuals who meet that characteristic in order	13	
14	for the survey to be valid correct?	14	A. I've not I've not I don't. I don't believe
15	MR. AWERBUCH: Objection.		it currently is sufficiently reliable that I would
16	THE WITNESS: I think you need to know with		ever do a survey on it.
17	a high degree of certainty that the respondents are	17	Q. How many surveys have you conducted in your
18	who you think they are yes.		career?
19	BY MR. COHEN:	19	A. Thousands.
20	Q. Do I understand your testimony correctly	20	Q. Tens of thousands?
21	that you need to know with a high degree of	21	A. Well I don't know if it's tens of thousands
	certainty that the respondents do not include a	22	5
	material number of individuals below say the age of	23	Q. Out of the thousands of surveys you've
	15?		conducted in your career how many were conducted on
_25	MR. AWERBUCH: Objection.	25	line?
	154		156
1	THE WITNESS: I don't know what you mean by	1	A. Well early in my career there wouldn't have
2	material but you would want to know you would need	2	been very upon many because you couldn't do it on
3	to know how many of those individuals this were.	3	line but I would say in recent years probably
4	Ideally you would have a way of screening those	4	50 percent of the surveys I've done are done on the
5	individuals out so they were never in the survey to	5	Internet.
6	start with.	6	Q. Over the entire course of your career what's
7	BY MR. COHEN:	7	the percentage that have been done on line?
8	Q. So if you don't know an exact number of the	8	A. Maybe I don't know maybe 10 percent. It's
9	individuals who shouldn't be in the survey	9	been the ability to do valid vase on line is really
10	population, the survey is invalid and I'll add to	10	only about oh depends on who you talk to but five to
11	that let me withdraw the question because you you've	11	ten years old at most.
12	put an important qualifier in here that I think is	12	Q. And so that's the period during which you
13	important to be fair. So if you don't know with a	13	
14	high degree of certainty, not perfect certainty but	14	
15	if you don't know with I a high degree of certainty	15	A. I believe that's correct.
	whether how many individuals are in the pool of	16	Q. Do you consider yourself an expert who
17	survey respondents who shouldn't be, the survey is	17	specializes in Internet research?
18	invalid?	18	MR. AWERBUCH: Objection.
19	A. I would say that the survey is invalid. I	19	A. Well I don't know what you mean by Internet
20	certainly wouldn't make important decisions based on	20	
21	such a survey.	$\begin{vmatrix} 20\\21 \end{vmatrix}$	methodology. Use Internet consumer panels regularly
22	Q. Have you ever communicated with anyone	22	and feel like I have a great deal of expertise in
23	associated with Google consumer survey?	23	that area. I have also studied the Internet as a
24	A. Not with Google consume are surveys per se I	24	
	regularly communicate with people at Google but not		areas of Internet in which I don't have have

25 regularly communicate with people at Google but not



25 areas of Internet in which I don't have have

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1       cscurity.         2       BY MR, COHEN:         3       Q. Have you ever published a paper regarding.         4       Internet research?         5       A. Thave.         6       Q. And what paper or papers would those be?         7       A. Well there have been several of the there         8       was a paper I published in the journal much public.         9       policy in marketing back around 2000 that dealt with         10       business models in the Internet space. I've done         11       sacdemy science that's what comes to mind at the         15       moment.         16 <b>O. Have you ever spoken on a conference</b> 17 <b>P. Ves</b> poken at the academy of marketing         18       A. Thave.         19 <b>O. Can you give me what examples you can some inviten about Google consumer surveys to date         17       <b>P. Ves</b> spoken at the academy of marketing         21       A. Thave.         22       <b>O. Can you give me what examples you can you give me what examples you can you give me dates or other information         21       A. There spoken at the academy of marketing         22       <b>C. Can you give me what examples you can you give me dates or other information in the tade press in online trade         23       <td< b=""></td<></b></b></b>		157		
<ul> <li>3 Q. Have you ever published a paper regarding</li> <li>4 Internet research?</li> <li>5 A. Have.</li> <li>6 Q. And what paper or papers would those be?</li> <li>7 A. Well there have been several of the there</li> <li>8 was a paper 1 published in the journal much public</li> <li>9 policy in marketing back round 2000 that dealt with</li> <li>10 business models in the Internet space. I've done</li> <li>11 several papers and book chapters around the Internet</li> <li>12 acarder to rougly interactive media, papers that have</li> <li>13 ence of rougly interactive media, papers that have</li> <li>14 academy science that's what comes to mind at the</li> <li>15 moment.</li> <li>7 Q. Ara you give me what examples you can</li> <li>16 Q. Have you ever spoken on a conference</li> <li>17 regarding Internet research?</li> <li>18 A. Thave.</li> <li>19 Q. Can you give me what examples you can</li> <li>10 because the academy of marketing</li> <li>21 acturally a publication fast have appeared on what's</li> <li>22 occince at the American marketing association, at</li> <li>23 the sare the ones that come to mind.</li> <li>24 couge to my give me dates or other information</li> <li>25 (0 Can you give me that ere sufficient for us</li> <li>24 to for publication as well as a</li> <li>25 cortainly could identify dates. In fact my CV would</li> <li>26 Q. And?</li> <li>27 Q. Ara you willing to look and produce them to</li> <li>29 Q. You mentioned four there that are sufficient for us</li> <li>21 thorse retainons. IV e mades on that would give you an indication.</li> <li>21 there would identify dates. In fact my CV would</li> <li>22 or And?</li> <li>3. Well, it if it was only a presentation they</li> <li>34 ditional information let me sak it this way TII</li> <li>34 dither you willing to look and produce them to</li> <li>34 ditor of the masket it way to publication fast way to publication fast way to publication fast and public dont fast of the size of the sphaltecen and sof the sphaltoc cornality with the consumer surveys?</li> &lt;</ul>	1	÷	1	
4       Internet research?       4       A. Im certainly willing to do that.         5       A. Ihave.       9       Q. And what paper or papers would those be?       A. Well there have been several of the there         7       A. Well there have been several of the there       9       Q. What's the basis for the opinions included         9       Q. Wat's the basis for the opinions included       1         9       Descriptions       M. Concertainty willing to do that.         10       business models in the interment space. I've done       1         11       seering papers and book chapters around the Internet       1       a claudemy science that's what comes to mind at the         12       a comparing internet research?       1       a claudemy science that's what comes to mind at the         16       Q. Have you ever spoken on a conference       17       regarding Internet research?       1         17       Consume surveys on that can give a meaningful       1       1       a clauden science at the American marketing association, at the accuracy of a consumer surveys so 1 that accuracy of a consumer surveys so 1 that accuracy of a consumer survey so 1 that accuracy of a consumer survey so 1 that have apper and what's a consumer survey so 1 that is the second on that to consumer survey so 1 that is to accuracy of a consumer survey so 1 that is to accuracy of a consumer survey so 1 that is to accuracy of a consumer survey so 1 that is to accuracy of a consuchar survey so 1 that is to a			$\begin{vmatrix} 2 \\ 2 \end{vmatrix}$	
<ul> <li>A. I have.</li> <li>Q. And what paper or papers would hose be?</li> <li>A. Well there have been several of the there</li> <li>was a paper 1 published in the journal much public</li> <li>policy in marketing back around 2000 that dealt with</li> <li>business models in the Internet space. I've done</li> <li>several papers and book chapters around the Internet</li> <li>and more broadly interactive media, papers that have</li> <li>been published in the journal of the market much</li> <li>a cachery science that's what comes to mind at the</li> <li>moment.</li> <li>Q. Have you ever spoken on a conference</li> <li>regarding Internet research?</li> <li>A. T have.</li> <li>Q. Can yon give me what examples you can</li> <li>cence at the American marketing association, at</li> <li>cience at the American marketing association, at</li> <li>to locat those presentations?</li> <li>A. Well, if, if it was only a presentation they</li> <li>to and there share to the difficient for us</li> <li>to locat those presentations so is there any</li> <li>diditional information let meask it this way Til</li> <li>diditional information let meask it this way Til</li> <li>A. A. It say solves in body that.</li> <li>Q. Any evolve presentations so is that way apperator on the farmation and the difficult here I many</li> <li>there's more than one a. Here's more than one</li> <li>thistace where you've presented at various different from what it is today. So it's not</li> <li>diditional information let meask it this way Til</li> <li>A. A. It's possible I don't know.</li> <li>Q. And't wy ou've mentioned?</li> <li>A. A. I said they's all listed or at least of</li> <li>A. A. I said they's all listed or at least of</li> <li>A. A. I said they's all listed or at least of</li> <li>A. A. I said with way ty clear whether they</li> <li>Were about the internet ron.</li> <li>Q. And the same are true about the articles</li> <li>Q. And the same are true about the articles</li> </ul>				
6       Q. And what paper or papers would those be?       6       in your report, regarding Google consumer surveys?         7       A. Well there have been several of the there       8       and more broadly in the journal much public         9       Dusiness models in the journal of the market much       1       is consumer surveys and one reason that Ive dones on is observed paper based on Google         12       and more broadly interactive media, papers that hout       10       becaused with there that are under the moment.         13       been published in the journal of the market much       11       acchicr of a journal as to whether on to we would         14       academy science that's what comes to mind at the moment.       15       regarding Internet research?         15       A. I have:       10       Can you give me what examples you can       10         21       A. I have:       12       called the American marketing association, at the association, the American marketing association, at the association, the American marketing association, at the associations?       12       accurally a publication that deals with market         23       concarree versisted in hard copy form.       15       15       formed mysel fperty well about what it is tably. So it so to tis to those resentations?         14       develop a definitive opinion. You kind of realy additional information let measy it in this is about Google surveys and about what it is table.				
<ul> <li>A. Well there have been several of the there so policy in marketing back around 2000 that dealt with 12 and more broadly interactive media, papers that have 11 several papers and book chapters around the Internet 12 and more broadly interactive media, papers that have 13 been published in the journal of the market much 14 academy science that's what comes to mind at the 15 moment.</li> <li>B. A. I have.</li> <li>D. Have you ever spoken on a conference 17 regarding Internet research?</li> <li>B. A. I have.</li> <li>D. G. Any you give me what examples you can 20 recall?</li> <li>Science at the American marketing association, at 21 the sassociation, the American academy of marketing 22 science at the American marketing association, at 23 the association, the American academy of marketing 23 science at the American academy of advertising 24 those are the ones that come to mind.</li> <li>D. Q. Can you give me dates or other information 21 to locate those presentations?</li> <li>J. N. Well, if, if it was only a presentation they 41 to any ever exist in hard curves you of the presentations. The mark et are accells of the presentations reads in and copy form. 15 certainly could identify dates. In fact my CV would 61 include my whole list of publications as well as a 1 to of the presentations. The marks the accuracy of 24 googe consumer surveys and the with it is today. So it's not 5 it's not some than one. 1 there's more than one 1 there's more</li></ul>	-			
8         was a paper 1 published in the journal much public         9         policy in marketing back around 2000 that deal with           9         policy in marketing back around 2000 that deal with         10         because the question comes up regularly in my role           11         several papers and book chapters around the Internet         12         accord for publication apaper brased on Google           12         and more broadly interactive media, papers that have         13         accounce that we does some investigation to           14         academy science that's what comes to mind at the         16         Consumer surveys so I've done some investigation to           14         academy science that's what comes to mind at the         16         15         relevant           17         A. I have.         19         Q. Can you give me what examples you can         10         hease are the ones that come to mind.           21         A. I have.         12         accula the green book is         11         actually a publication that meter           22         A. I have.         12         accula the green book is         12         actually a publication that meter           23         A. Well, if, if it was any appeared on what's         20         20         Geogle consumer surveys and hoout what it           24         those are the ones that come to mind.				
<ul> <li>9 policy in marketing back around 2000 that dealt with 10 business models in the Internet space. I've done</li> <li>9 consumer surveys and one reason that I've done so is 10 because the question comes up regularly in my role 11 as action of a journal as to whether or not we would ha cademy science that's what comes to mind at the 13 moment.</li> <li>16 Q. Have you ever spoken on a conference 17 regarding Internet research?</li> <li>18 A. I have.</li> <li>19 Q. Can you give me what examples you can recall?</li> <li>21 A. I ve spoken at the academy of marketing 2 science at the American academy of advertising 2 science at the American araketing association, the Y ve also seen a study by the 22 research providers. The academy of advertising 2 science at the American marketing association, the Y ve also seen a study by the 22 research providers. The academy of advertising 3 additional informations formations formations 1 science at the accuracy of 2 Gogle consumer surveys and about what it 2 is it is however as I indicated still evolving, 3 what it was two years ago when it was introduced is 4 quite different from what it is top. So it's not 5 it's not so merican marketing association, 11 science where you're presented to x trains y little 3 models and the consumer surveys?</li> <li>10 A. I'm soroys.</li> <li>11 Q. Are you willing to</li></ul>				
10       business models in the Internet space. I've done         11       accuration is the Internet space. I've done         12       accuration is the Internet space. I've done         13       been published in the journal of the market much         14       academy science that's what comes to mind at the         15       moment.         16       Q. Have you ever spoken on a conference         17       regarding Internet research?         18       A. I have.         19       Q. Can you give me what examples you can         11       as calcen at the American marketing association, at         21       A. I've spoken at the academy of marketing         22       science at the American marketing association, at         21       A. I've spoken at the academy of advertising         23       science at the ones that come to mind.         25       Q. Can you give me dates or other information         160       1 you mentioned four there that are sufficient for us         161       1 you mentioned four there that are sufficient for us         162       1 of the presentations. P         178       A. Well, if, fit it was only a presentation they         4       give you a indication.         9       Q. But I don't mean to be difficult here I mean     <	~			0 0
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<ul> <li>17 Q. Are you willing to look and produce them to</li> <li>18 complaint counsel?</li> <li>19 A. Sure. I'm happy to do that.</li> <li>20 Q. And?</li> <li>21 A. As I said they're all listed or at least of</li> <li>22 them would be listed on my curriculum vitae and the</li> <li>23 title would probably make it very clear whether they</li> <li>24 were about the Internet or not.</li> <li>25 Q. And the same are true about the articles</li> <li>17 Q. Have you ever accepted for publication any</li> <li>18 submission in which the author related in whole or</li> <li>19 in part on google consumer surveys?</li> <li>20 A. I can say with absolute certainty I have not</li> <li>21 and I can say that for two reasons first of all</li> <li>22 Google consumer surveys have not been along for very</li> <li>23 long so there would have been very little</li> <li>24 opportunity for people to have crafted papers using</li> <li>25 that methodology but I at this point where I'd</li> </ul>				
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<ol> <li>A. Sure. I'm happy to do that.</li> <li>Q. And?</li> <li>A. As I said they're all listed or at least of</li> <li>them would be listed on my curriculum vitae and the</li> <li>title would probably make it very clear whether they</li> <li>were about the Internet or not.</li> <li>Q. And the same are true about the articles</li> <li>In part on google consumer surveys?</li> <li>A. I can say with absolute certainty I have not</li> <li>and I can say that for two reasons first of all</li> <li>Google consumer surveys have not been along for very</li> <li>long so there would have been very little</li> <li>opportunity for people to have crafted papers using</li> <li>that methodology but I at this point where I'd</li> </ol>				
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24 were about the Internet or not.24 opportunity for people to have crafted papers using 25 Q. And the same are true about the articles24 opportunity for people to have crafted papers using 25 that methodology but I at this point where I'd				
25 Q. And the same are true about the articles 25 that methodology but I at this point where I'd	~ .			
	_	· · · · · · · · · · · · · · · · · · ·	-	

	101		105
1	received such say paper I'm certain that I would	1	A. I can't give you a specific count there was
	reject it.		one one report that I recall that was early in it's
3	Q. In how many instances that you're aware of		history that was very far off the mark and I can't
4	has Google consumer surveys been far off the mark?		even recall what was, what it was measuring. I
5	MR. AWERBUCH: Objection.		think it was measuring something about media usage
6	THE WITNESS: I haven't done first of all I	6	but I don't I don't have a specific recollection. I
7	haven't done a systematic analysis to see if I can	7	know that in the pew foundation work it was close on
	make that determination. Secondly that data are	8	some many items but also pretty far off on some
9	really still quite sparse, the pew foundation	9	other items but I don't remember how many things I
10	project found it was in some cases close in other	10	looked at.
		11	Q. When you say media use was that a reference
	many instances. Again we've only had two years of	12	<b>▲</b>
	history. It is safe to say that one could not with	13	A. I don't as I sit here today I don't recall.
14	5	14	Q. Let me direct you to your report at page 14
	say you could rely on the results obtained from	15 16	<b>note 11. It's a reference to Jeffrey Henning 2012.</b> A. Mm-hmm.
	Google surveys for anything more than maybe some		
17	directional information maybe a quick snapshot where you weren't really interested in something that was	17   18	<b>Q. Have you read the material referenced?</b> A. I have.
18	very accurate. And I think that's the general	10	<b>Q.</b> What sort of material is it?
20	assessment of the research community today as well.	20	A. It's on line columns it's blogs, it's it's
20	BY MR. COHEN:	20	the sharing of practitioners with other
21	Q. Is there someone in the research	$\begin{vmatrix} 21\\22 \end{vmatrix}$	practitioners which is about the only thing you're
22	communicator publication or references other than	23	going to find that's currently available with
	those contained within your report that you could	23	• •
	direct me toward that would support the opinion that	25	Q. It's actually a tweet from Jeffrey Henning
	162		164
1	you just provided?	1	isn't it?
2	A. Well I did cite some in the report itself.	2	A. Well it's a long tweet but yeah that's fair,
3	5	3	5
	are to the green book which I mentioned earlier and	4	Q. Let's mark the blog with the tweet as
	is available on line. There there in addition to to		Stewart eight this is the long tweet that you were
6	those I've sighted there are other papers or blogs		referring to?
7	by research professionals that have dealt with		A. That's correct.
8	Google consumer surveys, that's a very useful		Q. DeR did you locate this blog post containing
9	source. And I would also I think the pew foundation	9	the tweet yourself?
10	paper is is's very useful source as well there are	10	A. I did.
11	other sources I just can't identify them at the	11	Q. And it provides one example where Google
12	moment.	12   13	consumer surveys produced an allegedly inaccurate result doesn't it?
	Q. And you mentioned blogs other than the ones that are in your report can you identify anything in	13	A. It does.
14	particular anything that would enable complaint	14	<b>Q.</b> It doesn't provide more than one such
	counsel to locate that information?		instance does it?
17	A. Well again I would send you to the green	17	A. I do not believe so know.
18	book which is basically an on going on line trade	18	Q. Who's the author of the blog post?
19	publication that is used widely by market research	19	A. I believe it's Jeffrey Henning.
	professionals as a place to find probably the most	$\begin{vmatrix} 1 \\ 20 \end{vmatrix}$	Q. And what's the basis for that belief?
20	preservice and a prace to mile productly the most	_ <del>_</del>	A. Because that's who's listed at the top as
20 21	· · · ·	21	
21	current discussion of Google consumer survey outside	21 22	÷
	current discussion of Google consumer survey outside of Google.	22	the as the author.
21 22 23	<ul><li>current discussion of Google consumer survey outside of Google.</li><li>Q. As you sit here today how many instances can</li></ul>	22 23	the as the author. Q. I want to make sure that my question is
21 22 23 24	current discussion of Google consumer survey outside of Google.	22 23 24	the as the author. Q. I want to make sure that my question is clear. I am in agreement with you that Jeffrey
21 22 23 24	<ul><li>current discussion of Google consumer survey outside of Google.</li><li>Q. As you sit here today how many instances can you name where Google consumer surveys was far off</li></ul>	22 23 24	the as the author. Q. I want to make sure that my question is clear. I am in agreement with you that Jeffrey Henning is the author of the tweet. Who is the
21 22 23 24	<ul><li>current discussion of Google consumer survey outside of Google.</li><li>Q. As you sit here today how many instances can you name where Google consumer surveys was far off</li></ul>	22 23 24	the as the author. Q. I want to make sure that my question is clear. I am in agreement with you that Jeffrey

	165		PUBLIC DOCUMENT 167
1	author of the blog post? Do you understand the	1	that I have found assessing the quality of Google
2	difference in the question?		survey. It's what the literature states.
3	A. I'm not sure that I'm understanding the	3	Q. Is it relevant where she works?
4	question.	4	A. I don't again not for my purposes.
5	Q. I will represent to you that my	5	Q. And for the same reason?
6	understanding is that Jeffrey Henning is the author	6	A. For the same reason.
7	of this tweet.	7	Q. Let's go to page 14, footnote nine. Kevin
8	A. Okay.	8	ought walled is the reference there. Did you locate
9	Q. The tweet is excerpted from a larger blog	9	that reference to kevin Oswald yourself?
10	1 1	10	A. Yes, I did.
11	contains the tweet correct?	11	Q. What sort of content is referenced?
12	A. That's correct.	12	A. Well I believe it's content that exists on
13	Q. Who's the author of the blog post?	13	the website of a research firm and I believe it's
14	A. It appears on what on what I believe is	14	discovery research group. And it's an it's an again
15	brand savant. I don't know who the specific author	15	it's a discussion of his experience with Google
	is in that case.		consumer surveys.
17	Q. So the author is not sighted in your report?	17	Q. Kevinos walled is employed by discovery
18	A. No.		research group correct?
19	Q. Is it relevant who the author is?	19	A. I think that is correct. I would have to
20	A. Not for my purposes.	20	confirm that.
21	Q. Is it relevant where the author works?	21	Q. Discovery research group is a competitor of
22	A. It may be but again not for my purposes.	22	grog will consumer surveys is it not?
23	Q. And why is it not relevant for your	23	MR. AWERBUCH: Objection.
24		24	THE WITNESS: I actually I wouldn't
25	A. I'm simply presenting information that's	25	characterize it as that at all. I mean they are
	166		168
1	available in the in the market research community	1	involved in market research but Google consumer
2	raising concerns about Google consumer surveys.		surveys is not. So I don't consider them
3	It's what's available. If there were if there were	3	competitors.
4	referee publications I would have sighted those but	4	BY MR. COHEN:
	Google scholar I'm sorry Google survey is so new	5	Q. You don't consider Google consumer surveys
6	that there's very little available other than among	6	to be involved in market research?
7	people who are kind of practicing professionals and	7	A. What they do is not market research. It's a
8	so I went looking for things that relevant of what	8	way to monetize publications. It's not market
9	practicing professionals think of the product.	9	research by any definition. That anybody who's a
10	Q. Let's back up to page 11 foot note seven.	10	serious scholar would agree with.
11	Did you locate the katrina lerman reference	11	Q. As a serious scholar what is your definition
12	yourself?	12	of market research?
13	A. I did.	13	A. Well market research is the collection of of
14	Q. What sort of reference is this?	14	information about consumers and about the
15	A. Well this appears in the green book	15	marketplace that carries a degree of certainty
16	e ,	16	sufficient to make decisions. Those decisions may
17	would characterize it as a blog. This is the green	17	vary in terms of what they are and so that the
18	book blog that it appears on. It's essentially an	18	research may vary. But the market research
19	on line publication in which marketing research	19	community does not consider Google scholar Google
20	1	20	surveys to be a serious competitor at this point.
21	practices.	21	Q. How do you know whether discvoery research
22	Q. Is it relevant who katrina letter man is?	22	group considers google consumer surveys to be a
23	A. I not for my purposes.	23	competitor or not?
24	Q. And why is that?	24	A. I wouldn't consider them a competitor.
25	A. Again I'm simply reflecting the literature	25	Q. How do you know please answer my
			42 (Pages 165 to 168)

	169		PUBLIC DOCUMENT 171
1	question.	1	used by publishers to share information with one
2	How do you know whether discovery research	2	another.
3	group considers them to be a competitor?	3	Q. Do you know whether withdrawn. The website
4	MR. AWERBUCH: Objection.	4	is, the specific content reference is a blog post
5	THE WITNESS: My understanding of how Google	5	
6	surveys is viewed in the market research community	6	A. It is.
7	would would suggest to me that serious market	7	Q. And to whom is the blog post directed?
8	research firms would not really consider it a	8	A. Yes I believe the post is directed at people
9	competitor.	9	who are in the largely in the media and publications
10	BY MR. COHEN:		industry.
11	Q. Have you interacted with anyone at Discovery	11	Q. Did Thomas Beck tall do any research in
12	research group?		support of his conclusions?
13	A. I have not.	13	MR. AWERBUCH: Objection.
14	Q. Do you know whether they are a serious	14	MR. COHEN: What's the basis for your
15	marketing firm?		objection.
16	A. I believe they are.	16	MR. AWERBUCH: You're asking him something
17	Q. Then what is that belief based?	17	that he can't really have personal knowledge of.
18	A. I'm aware of some of the work they have done	18	THE WITNESS: Yeah I'm as I have I've said
19	but I I don't have any further basis of that.	19	before I'm offering you what the what the opinion of
20	Q. You don't actually have any personal	20	Google surveys is in the professional community.
21	knowledge as to whether or not they view Google	21	What they're based on varies, there is some research
22	consumer surveys as a competitor?	22	that I have pointed to, there are blogs there are
23	A. I don't have I have not spoken to anyone	23	opinions, I don't necessarily know what all of the
24	there I have no personal knowledge that is correct.	24	opinions are based on but this is what's out there
25	Q. Let's say on page 14 the sentence beginning	25	about Google surveys.
	170		172
1	after footnote nine, it's about six or seven lines	1	BY MR. COHEN:
2	from the bottom, another review noted the annoyance	2	Q. I move to strike that as nonresponsive ma'am
3	factor, the tendency for respondents to give bog us	3	can you please read back my question read read ?
4	answers and concluded that Google surveys is just	4	A. I can't answer that I don't know I don't
5	terrible. It annoys your most important asset, your	5	know the basis of his opinion as I did say in my
6	reader. It misleads your partners, the brands, and	6	responsive an answer.
7	it forces you as a publisher to focus on volume over	7	Q. Does it matter who he is?
8	quality, which reduces the overall value and lower	8	A. It may. For my purposes it doesn't really
9	how much people trust your content did I read that	9	matter.
10	correctly?	10	Q. And why doesn't it matter for your purposes?
11	A. Yes you did.	11	A. Because what I'm trying to reflect in my
12	Q. Whose words are those?	12	report is what the general opinion published opinion
13	A. Those are I I you've sighted I've given	13	admittedly on the website on websites is of Google
14	you the sight there.	14	consumer surveys at this point in time. Some of it
15	Q. Is this a paraphrase of the citation or are	15	I'm certain is purely opinion some of it may be
16	those your words? I guess only let me withdraw the	16	based on research I pointed to some research but
17	question. Paraphrasing your words would be really	17	there's a the some of all of these suggest an
18	the same thing. Is it a paraphrase or are you	18	enormous amount of skepticism of Google surveys at
19	actually quoting from the citation there?		least as it's currently constructed.
20	A. I think that that that where I'm quoting I	20	Q. The sum of all of these what is the all of
21	would probably have put it in quotes so I would say		these that you're referring to?
22	it's probably a pair phrase.	22	A. I've given you a number of different sites

23 Q. What source of content is footnote ten

24 referencing?

25 A. Again it's referring to a website that is

43 (Pages 169 to 172)

23 quotations that in summary, lead to a conclusion

25 inferences from Google surveys.

24 that you need to be very careful about drawing any

1       O. And it's so the all of these is the 2 references in your report?         3       A. That's correct.         4       Q. Anything else?         5       A. Well this is, this is a selection of things 6 that Have found over time. Many of these I was 7 aware of before before I even began working on this 8 project as you needed information in order to be 9 responsive to questions It was receiving from 10 authors. There are other things that I ves needed 9 this is simply representative.       Q. How would you physically describbe the user 8 experience when a potential respondent is presented 9 with a Google consumer survey?         10       A. That is varies by prepresentative.       Q. And for the same reasons you've aiready 14 he. Not as I sit here today.         11       G. And for the same reasons you've aiready 18 explained?       A. Not as I sit here today.         12       A. That's correct.       10 think that and or the same reasons you've aiready 18 explained?         12       A. That's correct.       110 11         13       12       and for the same refinements are Lyon 22       12         14       14       16       for some people in you wall to get to in 23       10 (area annoyance, for some people in this dust going 20       10 (area annoyance, for some people in this dust going 20       20       11         2       A. That's correct?       10 11       11       11       11         2       A. That's correct?       11 <th></th> <th>173</th> <th></th> <th>PUBLIC DOCUMENT 175</th>		173		PUBLIC DOCUMENT 175
<ul> <li>2 references in your report?</li> <li>3 A. That's correct.</li> <li>4 Q. Anything else?</li> <li>5 A. Well this is, this is a selection of things</li> <li>6 that have found over time. Many of these I was aware of hefore leven began working on this project as your ended information in order to be gresponsive to questions I was receiving from</li> <li>10 authors. There are other things that I ve seen.</li> <li>11 This is this is simply representative.</li> <li>2 Q. Can you identify some of the other things that I ve seen.</li> <li>12 Q. Can you identify some of the other things that I ver seen?</li> <li>2 A. Not as I shi ther thing.</li> <li>3 that you're seen?</li> <li>4 A. Not as I shi here thore Thomas Beck tall works?</li> <li>16 A. Not for my purposes.</li> <li>17 P. A. Yes.</li> <li>20 Q. You testified and I don't mean to mischaracterize I'm sure you'll correct me if I'm are the Google to smale refinements are typ.</li> <li>17 Q. Do you know what those refinements are Lym.?</li> <li>2 A. That's correct.</li> <li>17 Q. Do you know what those refinements are Lym.?</li> <li>2 A. That's correct.</li> <li>17 Q. Do you know what those refinements are Lym.?</li> <li>2 A. That's correct.</li> <li>17 Q. Do you know what those refinements are Lym.?</li> <li>3 A. It's my understanding in typ.</li> <li>3 A. It's my understanding in typ.</li> <li>3 A. Well only that it seems to take into account if they may perform some other tak to get to the cores still content. They might pay for the content. They might pay for the scenser the survey right and when they initially is nown and the sit on the stat you're going to a pomotion. This is there are a lat if a pay to the is responding it varies and I don't mean to is now say or the other would hoses recent. They might pay for the scenser the survey right and when two wild in the record is one of the tings that you're going to go you the intersent but it is one of the tak to get to the sight it to pay for the sight it to pay for the scenser ith and the cores might be.</li></ul>	1		1	
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	177		PUBLIC DOCUMENT 179
1	know if they have implemented that or not.	1	Q. What was the average response time across
2	Q. Let's assume that a potential survey	2	Professor Frederick's studies?
3	respondent is given the option of responding to a	3	A. I have a recollection somewhere in the
4	survey let's assume for further more it's one	4	neighborhood of maybe 20 seconds, but that's only a
5		5	but that's only a best estimate based on a fault I
6	to get behind a pay wall and access otherwise	6	will recall.
7	accessible content. Do you understood those	7	Q. Is that relevant to you at all?
8	assumptions?	8	A. No, sir.
9	A. I do.	9	Q. Why is that not relevant to you?
10	Q. Why is it your contention that someone	10	A. Because I think the data is so fundamentally
11	confronted with that decision would be annoyed or	11	flawed whether they spent 20 seconds or 20 minutes
12	disturbed by this?	12	doesn't it doesn't rehabilitate the data.
13	A. Because people don't like barriers between	13	Q. Is it relevant to you with respect to the
14	what they're interested in accessing and themselves	14	specific question of whether respondents are likely
15	themselves whether that be to pay for content	15	giving serious consideration to to the question
16	publishers have had enormous difficulty getting	16	before responding putting aside the overall validity
17	people to pay for content that is on line. Having a	17	of the survey?
18	survey pop up as a barrier is again an interference	18	A. No.
19	with the goal of the respondent so some respondents	19	Q. Why not?
20	are going to be frustrated and annoyed by that think	20	A. Because I don't, I don't really think it's a
21	wanted content and couldn't get it.	21	particularly meaningful piece of information. You
22	Q. Are respondents more likely to be frustrated	22	know it if it's ten seconds or 20, second really
23	by having to pay to get behind the pay wall or	23	doesn't matter. You can put a meaningful answer in
24	having to answer the survey question to get behind	24	for a short question, something where one merely had
25	the pay wall. I think they may be annoyed in either	25	to check a box in in five seconds, one could sit and
	178		180
1	ways case?	1	stair at a screen while you're watching the world
2	O. And you have no view as to which the		cup ask you might be on the screen or you know a

2 Q. And you have no 3 respondent is likely to prefer?

- 4 A. I think you already asked most respond he
- 5 wants would say I just want access to the content.
- 6 **Q.** Have you considered whether some respondents
- 7 might be happy to answer a question that takes 15 to
- 8 25 seconds in exchange for being able to access
- 9 content behind a pay wall for free?
- 10 A. I don't have any document that there may be
- 11 some consumers who would be very happy to give a
- response whether it be a nonsense cal sponsor a 12
- meaningful response in order to get some content 13 14 that was of interest to them.
- 15 Q. What's the average response time across
- 16 Google consumer surveys?
- A. I don't know. I -- I think it would 17
- 18 probably depend on the nature of the question and 19 and the number of questions.
- 20 Q. What's the average response time across
- 21 Google consumer surveys for single questions?
- 22 A. I off the top of my head I don't know that
- 23 as I sit here today.
- 24 Q. Is that relevant to you at all?
- 25 A. No it's not relevant.

23 Q. You, there's obviously disagreement about

3 minute before you respond and then you give a really

anything one way or another about the validity of

Q. You would agree would you not that

biodegradation time questions give reasonably

THE WITNESS: I wouldn't say an is

substantial majority. Recognize he doesn't even

18 have to take those 40 percent and set those aside.

21 to be plausible responses, not all but most.

code almost 40 percent of the responses. So so we

You know of the of the remaining roughly 60 percent,

yes I think the majority give what I would consider

substantial majority of respondents give to

MR. AWERBUCH: Objection.

Q. You've studied Professor Frederick data to

4 sillily response so I don't think that tells us

8 an agree at least haven't you?

plausible answers correct?

A. To a degree yes.

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the responding.

- 24 the parties about this but you believe I don't know
- 25 is a plausible response?

22 BY MR. COHEN:

	181		PUBLIC DOCUMENT 183
1	A. Oh absolutely.	1	it's perfectly plausible and in fact the logic there
2	Q. And you believe that it depends is a		is perfectly plausible but they didn't necessarily
3	plausible response?		have that belief prior to actually confronting this
4	A. Not only do I believe it's a plausible	4	
5	response it's my understanding from the reading I've	5	barrier to get to what they really want.
6	done about biodegradability that it's probability	6	Q. What's a pilot study?
7	the most correct response.	7	A. A pilot study is generally a study done on a
8	Q. So if you add together the respondents who	8	
9	give was I'll call plausible numeric responses to	9	for purposes of estimating sample size for purposes
10	biodegradation time questions and the respondents	10	
11	who give I don't know type responses and the	11	
12	respondents who give it depends type responses,		survey.
13	roughly speaking what percentage of of Professor	13	Q. Using that definition until I tell you
14	Frederick's data did those three categories	14	
15	represent?	15	studies related in some way to litigation or
16	A. I can only give you a ballpark figure.	16	potential litigation do you understand that
17	Q. That's fine?	17	assumption?
18	A. But I would say about 75 percent.	18	A. I do.
19	Q. Whether or not that, let's assume that	19	Q. Have you ever been involved with a pilot
20	that's 75 percent figure is correct. Why does that	20	study that was terminated prior to completion?
21	not indicate to you that 75 percent of the survey	21	A. I'm sure I must have been. I don't have a
22	respondents are taking the question seriously?	22	specific recollection.
23	A. Because there's no evidence that they're	23	Q. Can you estimate how many?
24	take being it seriously. They did not come to the	24	A. No. I'm surely that I'm sure that there
25	survey for the purpose of completing a survey, they	25	have been several. I've done a lot of pilot work
	182		184
1	came to the task for a completely different reason	1	and often been the case that you know you get
2	and were interrupted. And just because the	2	results that suggest you don't want to go forward or
3	responses are plausible in that case one can give at	3	the client simply decides that they don't really
4	a plausible response that is that is not a real	4	want to do the survey after all. But I don't I
5	response. It would be very easy for somebody to	5	don't have an estimate of the number of times.
6	simply type in one year and they don't believe that	6	Q. Can you think of any pilot studies in
7	it simply a way to make the screen go away and we	7	particular that were terminated prior to completion?
8	have no way people weren't screened in in way way	8	A. I can't think of any as I sit here today.
9	they weren't present to to any research you know the	9	Q. Have you ever been involved with a pilot
10	entire incentive is to get that screen out of the	10	
11	way and many people are will give a plausible	11	because of concerns with that the results would be
12	response just to get rid of it. Whether that's what	12	adverse to the party ultimately funding the study?
13	they really think or not, who knows.	13	A. No I don't believe so.
14	Q. Why would someone give a plausible response	14	Q. Let's look back at your report page five.
15	that isn't what they really think?	15	The section involve many scope of the assignment.
16	A. To get rid of the screen.		Please read the scope of the cement section and just
17	Q. So on they have one view but they give a	17	look up at me when you're finished.
18	different plausible view to get rid of the screen is	18	A. Okay.
19	that what I understand you to be testifying?	19	Q. The scope of assignment section doesn't
20	A. No I I'm not sure that they necessarily even	20	mention the manufacturers pilot study does it?
21	have a have a view. But they need to put something in the box to make it so away so you know I've payor	21 22	A. No it does not. • Why not?
22	in the box to make it go away so you know I've never thought about that question before but one year	22	Q. Why not?
23 24	thought about that question before but one year	23 24	A. Because that study was done we're talk become that study from the very beginning, but that
24	sounds about right. Let me type that in this thing		study was done very late in in my assignment and it

25 will go away and I can get on with my business. Now 25 study was done very late in in my assignment and it

46 (Pages 181 to 184)

	185		PUBLIC DOCUMENT187
1	I simply didn't get it into the scope of assignment	1	a sampling frame did I read that correctly?
2	here. I would, I would encompass it within the the	2	A. You did.
3	the larger survey of consumer perceptions these were	3	Q. Have you ever seen a copy of the list?
4	consumers they just happen to be business people.	4	A. I was provided the list yes.
5	Q. Who's the we in that sentence?	5	Q. Why was a copy of that list not produced to
6	A. Where? We?	6	complaint counsel?
7	Q. Ma'am could you read back professor	7	A. Because it's confidential.
8	stewart's response?	8	Q. Was there any other reason?
9	Read read	9	A. I haven't have an ethical responsibility to
10	A. I didn't hear a we in here.	10	
11	Q. Ma'am maybe I misheard it. I thought I did	11	1 5
12	hear it. If you wouldn't mind just reading it. I	12	1 5
13	think it's towards the beginning.		will not provide the identity of my respondents.
14	Read read.	14	
15	A. I and the attorneys in discussing what I		but we're going to have to talk about this because
16	would do we we went back and forth about what my		let me ask a couple follow-up questions?
17	assignment would be and it changed a bit over time.	17	MR. AWERBUCH: Are we on the record now.
18	Q. In what respects did it change over time?	18	MR. COHEN: No we're on the record the tire
19	A. Well early early on I had no notion that	19	entire time.
20	that was going to be an expert to whom I was going	$\begin{vmatrix} 20\\ 21 \end{vmatrix}$	
21	to be asked to respond early on I was merely asked	21	Q. You possess a copy but it wasn't produced to
	to comment on evaluate the saneovay and the an co	$\begin{vmatrix} 22 \\ 22 \end{vmatrix}$	1 5
	surveys subsequently I was asked to describe's survey in the context of that discussion we talked	$\begin{vmatrix} 23\\ 24 \end{vmatrix}$	your confidentiality obligations to your survey respondents correct?
24 25	•	24	A. That is correct.
	186	23	A. That is concet. 188
1	or whether it should be of manufacturers and in in	$\begin{vmatrix} 1 \\ 2 \end{vmatrix}$	Q. And what is your understanding if any as to
	collaboration with the attorneys we agreed that	$\begin{vmatrix} 2 \\ 2 \end{vmatrix}$	the relationship between whatever obligation that
3	11		
4	Synovate and APCO we would focus on end user		ECM has under the part three administrative rules?
5	customers but that we would also do an manufacturers	5	A. I don't have an understanding. As I said if
0	survey at some point and ultimately we decided to do	$\begin{vmatrix} 6 \\ 7 \end{vmatrix}$	1
8	<ul><li>a pilot on the manufacturers.</li><li>Q. You mentioned attorneys plural which</li></ul>		have an obligation to protect the confidentiality of my research respondents.
9	attorneys were you discussing it with?	9	Q. ECM has a copy of the list correct.
10	A. Well it was largely with Lou Caputo I know	10	A. That's actually where I obtained it.
11	there were other attorneys who were in the	11	Q. Just so the record is clear, you obtained it
12	background but most of my conversation until very	12	
13	recently was with Mr. Caputo.	13	and associates obtained it from ECM?
14	Q. And who were the other attorneys in the	14	A. That's fair yes.
15	background that you know were in the background?	15	Q. Did Mr. Sin clar, in particular provide the
16	A. First name is Peter, and I don't recall his	16	
17	last name. Eric has only recently become involved.	17	provided to you?
18	I don't think he was involved in the earlier	18	A. It's I was given an initial list which
19	conversations so that would have been the group.	19	included multiple individuals in each of about two
20	Q. You did in fact design a manufacturers pilot	20	hundred or so companies and I asked through the
21	study for ECM compose	01	attematic that we identify and on two of the most

21 attorneys that we identify one or two of the most

21 study for ECM, correct?

Q. Let's go to page 27 of your report the

24 fourth line down beginning in the middle a pilot

25 study was conducted using a list of ECM customers as

A. I did.

22

- 22 knowledgeable people in each organization rather
- 23 than having six or eight people that would then
- 24 become the focus of our work and it's my
- 25 understanding that Mr. Sinclare or someone in his



	189		FUBLIC DUCUMENT 191
1	organization did go through and identify those	1	subset of those two hundred companies when were most
2	victims and then through the attorneys I was	2	knowledgeable. Did I say that correctly?
3	provided that.	3	A. No.
4	Q. I won't keep repeating this question so the	4	MR. AWERBUCH: Objection.
5	record is clear, any place type of question that I	5	BY MR. COHEN:
6	ask you in today's deposition that requires you to	6	Q. That's why I'm asking?
7	disclose the names of the specific customers, you	7	A. No.
8	are not going to respond correct?	8	Q. Correct me?
9	A. That is correct.	9	A. No. As I indicated for each, I shouldn't
10	Q. Okay. So we'll save me from having to ask a		say for each but for many of the companies there
11	series of questions related to that issue. Can you		were six seven eight different individuals that were
12	tell me whether the list was in electronic format?		listed. And with titles and it was clear to me just
12	A. Well it was an it was transmitted to me as a		in looking at the list that some were likely to be
	PD F.		more knowledgeable than others. And it also made
15	Q. And transmited to you presumely as a PDF		little sense to have more than a couple of
16	means transmitted to you presumery as a 1 Dr		representatives of each company on the list for
17	A. That is correct.	17	
18	<b>Q.</b> So both you and Emord and associates have a		want to bombard a company with lots of with lots of
19	PD Fif an email?		calls. So what I asked for was a for each company,
20	MR. AWERBUCH: Objection.		a subset of one or two individuals names that would
20	THE WITNESS: Well I may still have it's	21	
22	possible.	$\begin{vmatrix} 21\\22 \end{vmatrix}$	
23	BY MR. COHEN:	23	research.
24	Q. And at least one point in time Emord and	24	Q. So I'll try it a second time and I'm going
	associates had a copy of a sent email that contained		to break it down in pieces and I want you to usually
	190		192
1	a PD F?	1	we try not to interrupt you each. This time
2	MR. AWERBUCH: Objection.	2	
3	THE WITNESS: That's correct.		
		3	A. Okay uh-huh.
4	BY MR. COHEN:	4	Q. In fall or winter you received a list of
4 5	Q. Were any of the companies on the list	45	Q. In fall or winter you received a list of approximately 200 companies from Emord and
-	Q. Were any of the companies on the list company that's complaint counsel depose indeed this	4 5 6	Q. In fall or winter you received a list of approximately 200 companies from Emord and associates?
5 6 7	Q. Were any of the companies on the list company that's complaint counsel depose indeed this matter?	4 5 6 7	<ul><li>Q. In fall or winter you received a list of approximately 200 companies from Emord and associates?</li><li>A. That's correct.</li></ul>
5 6 7 8	Q. Were any of the companies on the list company that's complaint counsel depose indeed this matter? MR. AWERBUCH: Objection.	4 5 6 7 8	<ul> <li>Q. In fall or winter you received a list of approximately 200 companies from Emord and associates?</li> <li>A. That's correct.</li> <li>Q. That list contained approximately six to</li> </ul>
5 6 7 8 9	Q. Were any of the companies on the list company that's complaint counsel depose indeed this matter? MR. AWERBUCH: Objection. THE WITNESS: Not to my knowledge I don't	4 5 6 7 8 9	<ul> <li>Q. In fall or winter you received a list of approximately 200 companies from Emord and associates?</li> <li>A. That's correct.</li> <li>Q. That list contained approximately six to eight names per company?</li> </ul>
5 6 7 8 9 10	Q. Were any of the companies on the list company that's complaint counsel depose indeed this matter? MR. AWERBUCH: Objection. THE WITNESS: Not to my knowledge I don't know who complaint counsel has deposed.	4 5 6 7 8 9 10	<ul> <li>Q. In fall or winter you received a list of approximately 200 companies from Emord and associates?</li> <li>A. That's correct.</li> <li>Q. That list contained approximately six to eight names per company?</li> <li>A. Well as many as six to eight. In some</li> </ul>
5 6 7 8 9 10 11	Q. Were any of the companies on the list company that's complaint counsel depose indeed this matter? MR. AWERBUCH: Objection. THE WITNESS: Not to my knowledge I don't know who complaint counsel has deposed. BY MR. COHEN:	4 5 6 7 8 9 10 11	<ul> <li>Q. In fall or winter you received a list of approximately 200 companies from Emord and associates?</li> <li>A. That's correct.</li> <li>Q. That list contained approximately six to eight names per company?</li> <li>A. Well as many as six to eight. In some companies it was only a couple but in quite a number</li> </ul>
5 6 7 8 9 10 11 12	<ul> <li>Q. Were any of the companies on the list</li> <li>company that's complaint counsel depose indeed this matter?</li> <li>MR. AWERBUCH: Objection.</li> <li>THE WITNESS: Not to my knowledge I don't</li> <li>know who complaint counsel has deposed.</li> <li>BY MR. COHEN:</li> <li>Q. So you don't know the answer to that one way</li> </ul>	4 5 6 7 8 9 10 11 12	<ul> <li>Q. In fall or winter you received a list of approximately 200 companies from Emord and associates?</li> <li>A. That's correct.</li> <li>Q. That list contained approximately six to eight names per company?</li> <li>A. Well as many as six to eight. In some companies it was only a couple but in quite a number of cases it could have been six to eight.</li> </ul>
5 6 7 8 9 10 11 12 13	<ul> <li>Q. Were any of the companies on the list</li> <li>company that's complaint counsel depose indeed this matter?</li> <li>MR. AWERBUCH: Objection.</li> <li>THE WITNESS: Not to my knowledge I don't</li> <li>know who complaint counsel has deposed.</li> <li>BY MR. COHEN:</li> <li>Q. So you don't know the answer to that one way or the other?</li> </ul>	4 5 6 7 8 9 10 11 12 13	<ul> <li>Q. In fall or winter you received a list of approximately 200 companies from Emord and associates?</li> <li>A. That's correct.</li> <li>Q. That list contained approximately six to eight names per company?</li> <li>A. Well as many as six to eight. In some companies it was only a couple but in quite a number of cases it could have been six to eight.</li> <li>Q. So that list contained as many as eight</li> </ul>
5 6 7 8 9 10 11 12 13 14	<ul> <li>Q. Were any of the companies on the list</li> <li>company that's complaint counsel depose indeed this matter?</li> <li>MR. AWERBUCH: Objection.</li> <li>THE WITNESS: Not to my knowledge I don't</li> <li>know who complaint counsel has deposed.</li> <li>BY MR. COHEN:</li> <li>Q. So you don't know the answer to that one way or the other?</li> <li>A. I don't.</li> </ul>	4 5 6 7 8 9 10 11 12 13 14	<ul> <li>Q. In fall or winter you received a list of approximately 200 companies from Emord and associates?</li> <li>A. That's correct.</li> <li>Q. That list contained approximately six to eight names per company?</li> <li>A. Well as many as six to eight. In some companies it was only a couple but in quite a number of cases it could have been six to eight.</li> <li>Q. So that list contained as many as eight names per company for the two companies?</li> </ul>
5 6 7 8 9 10 11 12 13 14 15	<ul> <li>Q. Were any of the companies on the list</li> <li>company that's complaint counsel depose indeed this matter?</li> <li>MR. AWERBUCH: Objection.</li> <li>THE WITNESS: Not to my knowledge I don't</li> <li>know who complaint counsel has deposed.</li> <li>BY MR. COHEN:</li> <li>Q. So you don't know the answer to that one way or the other?</li> <li>A. I don't.</li> <li>Q. When was the list provided to you?</li> </ul>	4 5 6 7 8 9 10 11 12 13 14 15	<ul> <li>Q. In fall or winter you received a list of approximately 200 companies from Emord and associates?</li> <li>A. That's correct.</li> <li>Q. That list contained approximately six to eight names per company?</li> <li>A. Well as many as six to eight. In some companies it was only a couple but in quite a number of cases it could have been six to eight.</li> <li>Q. So that list contained as many as eight names per company for the two companies?</li> <li>A. That's my recollection yes.</li> </ul>
5 6 7 8 9 10 11 12 13 14 15 16	<ul> <li>Q. Were any of the companies on the list</li> <li>company that's complaint counsel depose indeed this matter?</li> <li>MR. AWERBUCH: Objection.</li> <li>THE WITNESS: Not to my knowledge I don't</li> <li>know who complaint counsel has deposed.</li> <li>BY MR. COHEN:</li> <li>Q. So you don't know the answer to that one way or the other?</li> <li>A. I don't.</li> <li>Q. When was the list provided to you?</li> <li>A. Well the initial list which we which I refer</li> </ul>	4 5 6 7 8 9 10 11 12 13 14 15 16	<ul> <li>Q. In fall or winter you received a list of approximately 200 companies from Emord and associates?</li> <li>A. That's correct.</li> <li>Q. That list contained approximately six to eight names per company?</li> <li>A. Well as many as six to eight. In some companies it was only a couple but in quite a number of cases it could have been six to eight.</li> <li>Q. So that list contained as many as eight names per company for the two companies?</li> <li>A. That's my recollection yes.</li> <li>Q. You made a judgment that you didn't want to</li> </ul>
5 6 7 8 9 10 11 12 13 14 15 16 17	<ul> <li>Q. Were any of the companies on the list</li> <li>company that's complaint counsel depose indeed this matter?</li> <li>MR. AWERBUCH: Objection.</li> <li>THE WITNESS: Not to my knowledge I don't</li> <li>know who complaint counsel has deposed.</li> <li>BY MR. COHEN:</li> <li>Q. So you don't know the answer to that one way or the other?</li> <li>A. I don't.</li> <li>Q. When was the list provided to you?</li> <li>A. Well the initial list which we which I refer</li> <li>was probably provided quite early in my assignment.</li> </ul>	4 5 6 7 8 9 10 11 12 13 14 15 16 17	<ul> <li>Q. In fall or winter you received a list of approximately 200 companies from Emord and associates?</li> <li>A. That's correct.</li> <li>Q. That list contained approximately six to eight names per company?</li> <li>A. Well as many as six to eight. In some companies it was only a couple but in quite a number of cases it could have been six to eight.</li> <li>Q. So that list contained as many as eight names per company for the two companies?</li> <li>A. That's my recollection yes.</li> <li>Q. You made a judgment that you didn't want to bombard 200 different companies with as many as</li> </ul>
5 6 7 8 9 10 11 12 13 14 15 16 17 18	<ul> <li>Q. Were any of the companies on the list company that's complaint counsel depose indeed this matter?</li> <li>MR. AWERBUCH: Objection. THE WITNESS: Not to my knowledge I don't know who complaint counsel has deposed.</li> <li>BY MR. COHEN:</li> <li>Q. So you don't know the answer to that one way or the other?</li> <li>A. I don't.</li> <li>Q. When was the list provided to you?</li> <li>A. Well the initial list which we which I refer was probably provided quite early in my assignment.</li> <li>Probably probably in the fall or winter of last</li> </ul>	4 5 6 7 8 9 10 11 12 13 14 15 16 17 18	<ul> <li>Q. In fall or winter you received a list of approximately 200 companies from Emord and associates?</li> <li>A. That's correct.</li> <li>Q. That list contained approximately six to eight names per company?</li> <li>A. Well as many as six to eight. In some companies it was only a couple but in quite a number of cases it could have been six to eight.</li> <li>Q. So that list contained as many as eight names per company for the two companies?</li> <li>A. That's my recollection yes.</li> <li>Q. You made a judgment that you didn't want to bombard 200 different companies with as many as eight phone calls and in April you were provided a</li> </ul>
5 6 7 8 9 10 11 12 13 14 15 16 17 18 19	<ul> <li>Q. Were any of the companies on the list company that's complaint counsel depose indeed this matter?</li> <li>MR. AWERBUCH: Objection. THE WITNESS: Not to my knowledge I don't</li> <li>know who complaint counsel has deposed.</li> <li>BY MR. COHEN:</li> <li>Q. So you don't know the answer to that one way or the other?</li> <li>A. I don't.</li> <li>Q. When was the list provided to you?</li> <li>A. Well the initial list which we which I refer</li> <li>was probably provided quite early in my assignment.</li> <li>Probably probably in the fall or winter of last year. The smaller list the list of most</li> </ul>	4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19	<ul> <li>Q. In fall or winter you received a list of approximately 200 companies from Emord and associates?</li> <li>A. That's correct.</li> <li>Q. That list contained approximately six to eight names per company?</li> <li>A. Well as many as six to eight. In some companies it was only a couple but in quite a number of cases it could have been six to eight.</li> <li>Q. So that list contained as many as eight names per company for the two companies?</li> <li>A. That's my recollection yes.</li> <li>Q. You made a judgment that you didn't want to bombard 200 different companies with as many as eight phone calls and in April you were provided a new list of two hundred companies but with a more</li> </ul>
5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20	<ul> <li>Q. Were any of the companies on the list company that's complaint counsel depose indeed this matter?</li> <li>MR. AWERBUCH: Objection. THE WITNESS: Not to my knowledge I don't know who complaint counsel has deposed.</li> <li>BY MR. COHEN:</li> <li>Q. So you don't know the answer to that one way or the other?</li> <li>A. I don't.</li> <li>Q. When was the list provided to you?</li> <li>A. Well the initial list which we which I refer</li> <li>was probably provided quite early in my assignment.</li> <li>Probably probably in the fall or winter of last year. The smaller list the list of most knowledgeable individuals was probably provided more</li> </ul>	4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20	<ul> <li>Q. In fall or winter you received a list of approximately 200 companies from Emord and associates?</li> <li>A. That's correct.</li> <li>Q. That list contained approximately six to eight names per company?</li> <li>A. Well as many as six to eight. In some companies it was only a couple but in quite a number of cases it could have been six to eight.</li> <li>Q. So that list contained as many as eight names per company for the two companies?</li> <li>A. That's my recollection yes.</li> <li>Q. You made a judgment that you didn't want to bombard 200 different companies with as many as eight phone calls and in April you were provided a new list of two hundred companies but with a more targetted group of one two two employees per</li> </ul>
5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21	<ul> <li>Q. Were any of the companies on the list company that's complaint counsel depose indeed this matter?</li> <li>MR. AWERBUCH: Objection. THE WITNESS: Not to my knowledge I don't know who complaint counsel has deposed.</li> <li>BY MR. COHEN:</li> <li>Q. So you don't know the answer to that one way or the other?</li> <li>A. I don't.</li> <li>Q. When was the list provided to you?</li> <li>A. Well the initial list which we which I refer was probably provided quite early in my assignment.</li> <li>Probably provided quite early in my assignment.</li> <li>Probably provided is the list of most knowledgeable individuals was probably provided more recently, maybe in April.</li> </ul>	4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21	<ul> <li>Q. In fall or winter you received a list of approximately 200 companies from Emord and associates?</li> <li>A. That's correct.</li> <li>Q. That list contained approximately six to eight names per company?</li> <li>A. Well as many as six to eight. In some companies it was only a couple but in quite a number of cases it could have been six to eight.</li> <li>Q. So that list contained as many as eight names per company for the two companies?</li> <li>A. That's my recollection yes.</li> <li>Q. You made a judgment that you didn't want to bombard 200 different companies with as many as eight phone calls and in April you were provided a new list of two hundred companies but with a more targetted group of one two two employees per company?</li> </ul>
5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22	<ul> <li>Q. Were any of the companies on the list company that's complaint counsel depose indeed this matter?</li> <li>MR. AWERBUCH: Objection. THE WITNESS: Not to my knowledge I don't know who complaint counsel has deposed.</li> <li>BY MR. COHEN:</li> <li>Q. So you don't know the answer to that one way or the other?</li> <li>A. I don't.</li> <li>Q. When was the list provided to you?</li> <li>A. Well the initial list which we which I refer was probably provided quite early in my assignment.</li> <li>Probably provided quite in my assignment.</li> <li>Probably provided in the fall or winter of last year. The smaller list the list of most knowledgeable individuals was probably provided more recently, maybe in April.</li> <li>Q. So there was a list in fall or winter of</li> </ul>	4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22	<ul> <li>Q. In fall or winter you received a list of approximately 200 companies from Emord and associates?</li> <li>A. That's correct.</li> <li>Q. That list contained approximately six to eight names per company?</li> <li>A. Well as many as six to eight. In some companies it was only a couple but in quite a number of cases it could have been six to eight.</li> <li>Q. So that list contained as many as eight names per company for the two companies?</li> <li>A. That's my recollection yes.</li> <li>Q. You made a judgment that you didn't want to bombard 200 different companies with as many as eight phone calls and in April you were provided a new list of two hundred companies but with a more targetted group of one two two employees per company?</li> <li>A. That's correct.</li> </ul>
5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23	<ul> <li>Q. Were any of the companies on the list company that's complaint counsel depose indeed this matter?</li> <li>MR. AWERBUCH: Objection. THE WITNESS: Not to my knowledge I don't know who complaint counsel has deposed.</li> <li>BY MR. COHEN:</li> <li>Q. So you don't know the answer to that one way or the other?</li> <li>A. I don't.</li> <li>Q. When was the list provided to you?</li> <li>A. Well the initial list which we which I refer was probably provided quite early in my assignment.</li> <li>Probably probably in the fall or winter of last year. The smaller list the list of most knowledgeable individuals was probably provided more recently, maybe in April.</li> <li>Q. So there was a list in fall or winter of last year that contained around two hundred</li> </ul>	4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23	<ul> <li>Q. In fall or winter you received a list of approximately 200 companies from Emord and associates?</li> <li>A. That's correct.</li> <li>Q. That list contained approximately six to eight names per company?</li> <li>A. Well as many as six to eight. In some companies it was only a couple but in quite a number of cases it could have been six to eight.</li> <li>Q. So that list contained as many as eight names per company for the two companies?</li> <li>A. That's my recollection yes.</li> <li>Q. You made a judgment that you didn't want to bombard 200 different companies with as many as eight phone calls and in April you were provided a new list of two hundred companies but with a more targetted group of one two two employees per company?</li> <li>A. That's correct.</li> <li>MR. AWERBUCH: Is it a good time for a break</li> </ul>
5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22	<ul> <li>Q. Were any of the companies on the list company that's complaint counsel depose indeed this matter?</li> <li>MR. AWERBUCH: Objection. THE WITNESS: Not to my knowledge I don't know who complaint counsel has deposed.</li> <li>BY MR. COHEN:</li> <li>Q. So you don't know the answer to that one way or the other?</li> <li>A. I don't.</li> <li>Q. When was the list provided to you?</li> <li>A. Well the initial list which we which I refer was probably provided quite early in my assignment.</li> <li>Probably provided quite early in my assignment.</li> <li>Probably provided in the fall or winter of last year. The smaller list the list of most knowledgeable individuals was probably provided more recently, maybe in April.</li> <li>Q. So there was a list in fall or winter of last year that contained around two hundred companies and then there was a subsequent list in</li> </ul>	4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23	<ul> <li>Q. In fall or winter you received a list of approximately 200 companies from Emord and associates?</li> <li>A. That's correct.</li> <li>Q. That list contained approximately six to eight names per company?</li> <li>A. Well as many as six to eight. In some companies it was only a couple but in quite a number of cases it could have been six to eight.</li> <li>Q. So that list contained as many as eight names per company for the two companies?</li> <li>A. That's my recollection yes.</li> <li>Q. You made a judgment that you didn't want to bombard 200 different companies with as many as eight phone calls and in April you were provided a new list of two hundred companies but with a more targetted group of one two two employees per company?</li> <li>A. That's correct.</li> </ul>

48 (Pages 189 to 192)

189

**PUBLIC DOCUMENT** 

	193		PUBLIC DOCUMENT 195
1	MR. COHEN: Sure we'll go off the record.	1	received in September?
2	MR. AWERBUCH: Thanks. Recess.	2	A. The only other thing I recall having
3	MR. AWERBUCH: Regarding any lists supplied	3	received in September was the Synovate survey.
4	ECM or their counsel to Dr. Stewart to the best of	4	Q. And your communications in September were
5	our knowledge we provided it to you in our 331A	5	with Mr. Caputo?
6	production, to the extent that any list was not	6	A. Yes.
7	production we're more than happy to oblige at this	7	Q. Any others?
8	point. Please feel freely to send an email or on	8	A. No.
9	our on volition.	9	Q. It's been a while but if we go back to page
10	MR. COHEN: Okay.	10	between onto the next sentence which is the last
11	BY MR. COHEN:	11	full sentence on that page, ECM personnel were asked
12	Q. A couple more questions. Dr. Stewart did	12	to identify by name a representative, a customer
13	you speak to anyone during the break related to this	13	organizations who was involved in the purchase of
14	deposition or about this case?	14	materials for the manufacturer of plastic and likely
15	A. No, sir I have not.	15	to be most knowledgeable about the manufacturing
16	Q. This list that we've been discussing was it		
17		17	A. Pretty much yes.
18	companies that were on the original list the same as	18	Q. Did I read it material others I may have
19	the one that was on the one that you received in		
20	April?	20	A. No it's just you inserted about rather than
21	A. Yes I believe so. And just to be clear it's	21	of but no problem.
	about recollect it's about two hundred companies	22	Q. My apologies, who were the ECM personnel you
	it's probably a little bit more than that. I just	23	referred to?
	don't remember the specific number.	24	A. I believe Mr. Sin can.
25	Q. We won't hold you to the specific number.	25	Q. Anyone else?
	194		196
1	About two hundred. And again I apologize if you	1	A. It was my understanding that either he did
	just answer my question but was there any, were	2	it himself or someone in his organization did it but
3	there any changes in the list between the ones that		I wouldn't know who those other people were.
	were there in either the fall or winter of last	4	Q. And are there any communications with
5	contrary and the ones that were there in April?	5	Mr. Sin clear that you're aware of related to the

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vear?

18 that done.

A. January maybe.

A. I can't recall.

Q. Okay.

6 A. I do not believe so.

#### Q. And just withdrawn. Do you recall when you 7 received the list, the second list in April? Was it 8 early April late April, the middle of the month? 9

10 A. I don't have a specific recollection.

Probably just given the timing of the events it 11

12 probably would have been early April but I could be 13 wrong.

#### 14 Q. When were you engaged in this matter?

15 A. Well I was contacted and actually did some

16 work beginning in September, maybe eastbound late August of last year. I -- I did not get a formal 17

and I signed a confidentiality agreement in 18

19 September much I did not get a formal engagement

- letter until I think December. 20
- Q. Can you just give me a little more detail 21

22 22 about what you received in September? You mentioned

23 that there was I guess a confidentiality agreement?

- 24 A. Yes.
- Q. And were there other documents that you 25

24 Mr. Sin clear?

25 A. I think I had two telephone conversations

Q. Were there any other communications with

6 identification of customer organizations other than

8 toward the end of last year and one in April of this

A. Well I did have a conversation with Mr. Sin

11 clear in which the topic of survey of manufacturers

12 came up and it was at that point that I mentioned to

him what I'd already talked to the attorneys about

and that was it would be helpful to have a more tar

getted list of names and could he help me with that

do a manufacturer survey, he could he could have

16 and he said yeah if we go down that road that is to

**Q.** And when was that conversation?

the two communications we've been discussing? One

49 (Pages 193 to 196)

	197		PUBLIC DOCUMENT 199
1	with Mr. Sin clear.	1	manufacturers pilot study would have the potential
2	Q. Two in addition to to the one you just		to introduce bias into that study wouldn't it?
3	mentioned or two including the one?	3	A. I don't know even know that there was more
4	A. Two including the one I just mentioned.	4	customers beyond what was on the list. It is very
5	Q. What was the other one regarding?	5	common in designing survey research particularly in
6	A. I I said to the attorneys it would be	6	the business to business context to bias sample
7	really helpful to me to have a somewhat better	7	selection on the volume of of business that one does
8	understanding of the product and the business and so	8	and if you do that then really small customers would
9	could somebody do a tutorial for me and arranged a	9	be a very small fraction of the of the total volume
10	call about a 20 minute call with Mr. Sin clear and	10	of the customers. But as I said I don't even know
11	he gave me a quick lesson on biodegradability.	11	that the list that I had was in in way in complete.
12	Q. And why did you think that would be helpful	12	Q. Do you know how many customers have
13	to you?	13	purchased product from ECM over the last five years?
14	A. Well I I often find it useful to have	14	A. I do not.
15	some understanding of the background in business of	15	Q. And you would give me the same answer if I
16	the clients with whom I work: I just thought it	16	
17	would be of assistance to me in thinking about the	17	A. That's correct.
18	issues in the case.	18	Q. So you don't know with one way or the other
19	Q. To simplify things putting together all of	19	whether the two hundred you were provided is the
20	your communications were Mr. Mr. Sin clear were any	20	entire list or just a fraction of the list?
21	attorneys present on any of those telephone calls?	21	A. I I it was represented to me as the
22	A. Actually I don't believe there were.	22	customer list I don't know any more about it than
23	Q. Again putting together all of your telephone	23	that.
24	calls with Mr. Sin clear were there any subjects	24	Q. If it were not a complete customer list in
_25	discussed other than the identification of customer	25	some regard, that would have the potential to
	198		200
1	organizations and background regarding the business?	1	introduce bias would it not?
2	A. No that as best as I recall that was the	2	A. It, certainly it has the potential, but
3	substance of the conversations.	3	again, as I said, to the extent that most of the
4	Q. Have you ever met Mr. Sin clear in person?	4	sales volume would be represented on the list that I
5	A. I have not.		was given the bias would not be great if if existed
6	Q. Regarding who would participate in the	6	at all.
/	manufacturers pilot study, why weren't selections		Q. Why do you believe if you do that large
8	made randomly from ECMs customer list?	8	customers with substantial sales volume would have
9 10	A. I'm sorry they were. Maybe I'm misunderstanding your question.	9	the same interpretations of ECMs marketing claims as a small customers with lower sales volume?
10 11	Q. Well let me take a step back I may be	10 11	A. No that's not what I says I believe I simply
12	misunderstanding what you're sex plaining to me do	12	said that in the context of business to business
12	you have an idea how many customers ECM has	12	survey research it is customary to go give greater
13	currently?	14	rate to respondents based on their sales volume very
15	A. I don't. I assume that the list that I got	15	common you got a customer who does 50 percent of
	was a reasonably complete list. Certainly of the of	16	
17	their larger customers. But I don't have any any	17	customer in your sample because they represent
18	other understanding.	18	50 percent of your business. You have another
19	Q. Why would smaller customers have been	19	customer who has done one purchase in ten years, you
20	excluded?	20	
21	A. It's not uncommon for's for a firm to		business. It's less important that they get
22	maintain a list of major customers significant	22	represented because they don't represent much sales
23	customers and not necessarily include the one off	23	volume and typically in business to business
24			
<u> </u>	customer.	24	research we wan the responses of murviduals based
25	Q. The exclusion of smaller customers from the		research we wait the responses of individuals based on the sales volume their organizations represent.

50 (Pages 197 to 200)

	201		PUBLIC DOCUMENT 203
1	Q. ECM not only provided the companies your	1	much involved in the purchase decision. And in fact
2	researchers would speak with or a subset, withdrawn	2	in many cases the actual person involved in
3	ECM not only provided the much companies your	3	purchasing say a purchasing agent knows eventuallily
4	researchers would speak with but the specific people	4	nothing about what's being purchased employ their
5	correct?	5	job is to execute the paperwork to maybe it
6	A. That's correct.	6	happenment what you really want is the individual
7	Q. That has the potential to introduce bias	7	that's the technical specifier and that's really
8	doesn't it?	8	what I was interested in and what I talked to
9	A. It it certainly could what I asked for were	9	Mr. Sin clarabout.
10	the people who would be most knowledgeable about the	10	Q. Someone might be involved with the
11	manufacturering and production process and the	11	purchasing decisions but not be the decision maker
12	purchasing that was related to to that. I would I	12	right?
13	would hope that that's what I got because I think	13	A. That's very common in business to business
14	they are the people who are most relevant to the	14	marketing yes.
15	topic that we were interested in.	15	Q. Let look at what may be exhibit nine in fact
16	Q. ECM could have spoken those persons before	16	it is Exhibit 9 which is the manufacturers pilot
17	they were surveyed correct?	17	study screen shots. The question one asked survey
18	A. I I because they're customers I have to	18	respondents are you involved in the decisions of
19	believe at some point there had been some discussion	19	your organization regarding the materials used in
20	with somebody: I don't know what transpired with	20	the manufacturing and I think there's a typo there
21	those customers. You know after I got the list and	21	products or product packaging. Have I read that
22	before we conduct would the survey.	22	correctly?
23	Q. There was nothing in the pilot study	23 24	A. I didn't uh-huh.
24 25	<b>designed that would have prevented that was there?</b> A. No.	24	Q. If the person answered affirmatively they were then asked question two, are any of those terms
		25	
	202		204
		1	
1	Q. You don't know do you that the persons	1	plastic or components used for manufacturing plastic
2	surveyed were actually the persons at the companies	1 2 2	correct?
2 3	surveyed were actually the persons at the companies involved in the purchase of the materials for the	3	correct? A. That's correct.
2 3 4	surveyed were actually the persons at the companies involved in the purchase of the materials for the manufacturer of plastic and likely to be most		correct? A. That's correct. Q. And then if the person answered
2 3 4 5	surveyed were actually the persons at the companies involved in the purchase of the materials for the manufacturer of plastic and likely to be most knowledgeable about the manufacturing process do	3 4 5	<ul> <li>correct?</li> <li>A. That's correct.</li> <li>Q. And then if the person answered</li> <li>affirmatively again a subset of questions began</li> </ul>
2 3 4 5 6	surveyed were actually the persons at the companies involved in the purchase of the materials for the manufacturer of plastic and likely to be most knowledgeable about the manufacturing process do you?	3 4 5 6	<ul> <li>correct?</li> <li>A. That's correct.</li> <li>Q. And then if the person answered</li> <li>affirmatively again a subset of questions began</li> <li>correct?</li> </ul>
2 3 4 5 6 7	surveyed were actually the persons at the companies involved in the purchase of the materials for the manufacturer of plastic and likely to be most knowledgeable about the manufacturing process do you? A. No I accepted the representation about who	3 4 5 6 7	<ul> <li>correct?</li> <li>A. That's correct.</li> <li>Q. And then if the person answered</li> <li>affirmatively again a subset of questions began</li> <li>correct?</li> <li>A. That's correct.</li> </ul>
2 3 4 5 6 7 8	surveyed were actually the persons at the companies involved in the purchase of the materials for the manufacturer of plastic and likely to be most knowledgeable about the manufacturing process do you? A. No I accepted the representation about who they were.	3 4 5 6 7 8	<ul> <li>correct?</li> <li>A. That's correct.</li> <li>Q. And then if the person answered</li> <li>affirmatively again a subset of questions began</li> <li>correct?</li> <li>A. That's correct.</li> <li>Q. None of the screening questions ask whether</li> </ul>
2 3 4 5 6 7 8 9	<ul> <li>surveyed were actually the persons at the companies involved in the purchase of the materials for the manufacturer of plastic and likely to be most knowledgeable about the manufacturing process do you?</li> <li>A. No I accepted the representation about who they were.</li> <li>Q. Do you consider this pilot study to have</li> </ul>	3 4 5 6 7 8 9	<ul> <li>correct?</li> <li>A. That's correct.</li> <li>Q. And then if the person answered</li> <li>affirmatively again a subset of questions began</li> <li>correct?</li> <li>A. That's correct.</li> <li>Q. None of the screening questions ask whether</li> <li>the person being surveyed is involved with the</li> </ul>
2 3 4 5 6 7 8 9 10	<ul> <li>surveyed were actually the persons at the companies involved in the purchase of the materials for the manufacturer of plastic and likely to be most knowledgeable about the manufacturing process do you?</li> <li>A. No I accepted the representation about who they were.</li> <li>Q. Do you consider this pilot study to have been double blind?</li> </ul>	3 4 5 6 7 8 9 10	<ul> <li>correct?</li> <li>A. That's correct.</li> <li>Q. And then if the person answered</li> <li>affirmatively again a subset of questions began</li> <li>correct?</li> <li>A. That's correct.</li> <li>Q. None of the screening questions ask whether</li> <li>the person being surveyed is involved with the</li> <li>purchase of materials for the manufacture of plastic</li> </ul>
2 3 4 5 6 7 8 9 10	<ul> <li>surveyed were actually the persons at the companies involved in the purchase of the materials for the manufacturer of plastic and likely to be most knowledgeable about the manufacturing process do you?</li> <li>A. No I accepted the representation about who they were.</li> <li>Q. Do you consider this pilot study to have been double blind?</li> <li>A. I do.</li> </ul>	3 4 5 6 7 8 9	<ul> <li>correct?</li> <li>A. That's correct.</li> <li>Q. And then if the person answered</li> <li>affirmatively again a subset of questions began</li> <li>correct?</li> <li>A. That's correct.</li> <li>Q. None of the screening questions ask whether</li> <li>the person being surveyed is involved with the</li> <li>purchase of materials for the manufacture of plastic</li> <li>correct</li> </ul>
2 3 4 5 6 7 8 9 10	<ul> <li>surveyed were actually the persons at the companies involved in the purchase of the materials for the manufacturer of plastic and likely to be most knowledgeable about the manufacturing process do you?</li> <li>A. No I accepted the representation about who they were.</li> <li>Q. Do you consider this pilot study to have been double blind?</li> <li>A. I do.</li> <li>Q. And why is that?</li> </ul>	3 4 5 6 7 8 9 10 11	<ul> <li>correct?</li> <li>A. That's correct.</li> <li>Q. And then if the person answered</li> <li>affirmatively again a subset of questions began</li> <li>correct?</li> <li>A. That's correct.</li> <li>Q. None of the screening questions ask whether</li> <li>the person being surveyed is involved with the</li> <li>purchase of materials for the manufacture of plastic</li> <li>correct</li> <li>A. I don't use the term purchase, and I don't</li> </ul>
2 3 4 5 6 7 8 9 10 11 12	<ul> <li>surveyed were actually the persons at the companies involved in the purchase of the materials for the manufacturer of plastic and likely to be most knowledgeable about the manufacturing process do you?</li> <li>A. No I accepted the representation about who they were.</li> <li>Q. Do you consider this pilot study to have been double blind?</li> <li>A. I do.</li> </ul>	3 4 5 6 7 8 9 10 11 12	<ul> <li>correct?</li> <li>A. That's correct.</li> <li>Q. And then if the person answered</li> <li>affirmatively again a subset of questions began</li> <li>correct?</li> <li>A. That's correct.</li> <li>Q. None of the screening questions ask whether</li> <li>the person being surveyed is involved with the</li> <li>purchase of materials for the manufacture of plastic</li> <li>correct</li> </ul>
2 3 4 5 6 7 8 9 10 11 12 13	<ul> <li>surveyed were actually the persons at the companies involved in the purchase of the materials for the manufacturer of plastic and likely to be most knowledgeable about the manufacturing process do you?</li> <li>A. No I accepted the representation about who they were.</li> <li>Q. Do you consider this pilot study to have been double blind?</li> <li>A. I do.</li> <li>Q. And why is that?</li> <li>A. The interviewers were not aware of who the</li> </ul>	3 4 5 6 7 8 9 10 11 12 13	<ul> <li>correct?</li> <li>A. That's correct.</li> <li>Q. And then if the person answered</li> <li>affirmatively again a subset of questions began</li> <li>correct?</li> <li>A. That's correct.</li> <li>Q. None of the screening questions ask whether</li> <li>the person being surveyed is involved with the</li> <li>purchase of materials for the manufacture of plastic</li> <li>correct</li> <li>A. I don't use the term purchase, and I don't</li> <li>know how you're using the term purchase here. But</li> </ul>
2 3 4 5 6 7 8 9 10 11 12 13 14	<ul> <li>surveyed were actually the persons at the companies involved in the purchase of the materials for the manufacturer of plastic and likely to be most knowledgeable about the manufacturing process do you?</li> <li>A. No I accepted the representation about who they were.</li> <li>Q. Do you consider this pilot study to have been double blind?</li> <li>A. I do.</li> <li>Q. And why is that?</li> <li>A. The interviewers were not aware of who the sponsors were and the calls were all made to the</li> </ul>	3 4 5 6 7 8 9 10 11 12 13 14	<ul> <li>correct?</li> <li>A. That's correct.</li> <li>Q. And then if the person answered</li> <li>affirmatively again a subset of questions began</li> <li>correct?</li> <li>A. That's correct.</li> <li>Q. None of the screening questions ask whether</li> <li>the person being surveyed is involved with the</li> <li>purchase of materials for the manufacture of plastic</li> <li>correct</li> <li>A. I don't use the term purchase, and I don't</li> <li>know how you're using the term purchase here. But</li> <li>we do ask if they're involved in the decisions of</li> </ul>
2 3 4 5 6 7 8 9 10 11 12 13 14 15	<ul> <li>surveyed were actually the persons at the companies involved in the purchase of the materials for the manufacturer of plastic and likely to be most knowledgeable about the manufacturing process do you?</li> <li>A. No I accepted the representation about who they were.</li> <li>Q. Do you consider this pilot study to have been double blind?</li> <li>A. I do.</li> <li>Q. And why is that?</li> <li>A. The interviewers were not aware of who the sponsors were and the calls were all made to the customers by a representative an interviewer from</li> </ul>	3 4 5 6 7 8 9 10 11 12 13 14 15	<ul> <li>correct?</li> <li>A. That's correct.</li> <li>Q. And then if the person answered</li> <li>affirmatively again a subset of questions began</li> <li>correct?</li> <li>A. That's correct.</li> <li>Q. None of the screening questions ask whether</li> <li>the person being surveyed is involved with the</li> <li>purchase of materials for the manufacture of plastic</li> <li>correct</li> <li>A. I don't use the term purchase, and I don't</li> <li>know how you're using the term purchase here. But</li> <li>we do ask if they're involved in the decisions of</li> <li>the association regarding materials used in</li> </ul>
2 3 4 5 6 7 8 9 10 11 12 13 14 15 16	<ul> <li>surveyed were actually the persons at the companies involved in the purchase of the materials for the manufacturer of plastic and likely to be most knowledgeable about the manufacturing process do you?</li> <li>A. No I accepted the representation about who they were.</li> <li>Q. Do you consider this pilot study to have been double blind?</li> <li>A. I do.</li> <li>Q. And why is that?</li> <li>A. The interviewers were not aware of who the sponsors were and the calls were all made to the customers by a representative an interviewer from California survey research. There was no</li> </ul>	3 4 5 6 7 8 9 10 11 12 13 14 15 16	<ul> <li>correct?</li> <li>A. That's correct.</li> <li>Q. And then if the person answered</li> <li>affirmatively again a subset of questions began</li> <li>correct?</li> <li>A. That's correct.</li> <li>Q. None of the screening questions ask whether</li> <li>the person being surveyed is involved with the</li> <li>purchase of materials for the manufacture of plastic</li> <li>correct</li> <li>A. I don't use the term purchase, and I don't</li> <li>know how you're using the term purchase here. But</li> <li>we do ask if they're involved in the decisions of</li> <li>the association regarding materials used in</li> <li>manufacturing products or product packaging. I</li> </ul>
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	205		PUBLIC DOCUMENT 207
1	et cetera I have with or without the word purchase?	1	tried very hard to ask questions in a very neutral
2	A. In my view it was and in part because I had	2	fashion that did not suggest you know which
3	asked that names be prescreened by people in the ECM	3	particular firm we were doing research for.
4	organization to identify people who would be	4	Q. Why didn't you ask to speak to the person at
5	knowledgeable.	5	the organization who made the decision to purchase
6	Q. Thus the reason that it's just as effective	6	biodegradeable additives?
7	with and within out word purchase is because the	7	A. That seemed that would have seemed to me to
8	persons being surveyed were prescreened by Mr. Sin	8	be to be very specific. And again could have
9	clear correct?	9	suggested I suppose, that it was being done by a
10	MR. AWERBUCH: Objection.	10	particular company or small subset of companies. It
11	THE WITNESS: Well I don't know that he's	11	seemed to me that this was a much more neutral way
12	the one who prescreened them. I got a list of	12	of asking the question.
13	people who were represented to me as like lick to be	13	Q. Was the manufacturers pilot study study
14	the most knowledgeable about the manufacturing	14	conducted by California research services or CSRS?
15	processes and that the materials that we go into it.	15	A. Yes, it was.
16	BY MR. COHEN:	16	Q. Was CSRS paid to conduct the pilot study?
17	Q. Take mr. Sinclaire out of there. Let's	17	A. They were.
18	Q. The reasons whyment questions are just as	18	Q. Why is that not disclosed in your report?
19	effective with and without the word purchase in	19	A. I don't know. I I I have that
20	there is because ECM provided you with the	20	information. It was done it was done fairly quickly
21	information regarding with whom you should speak, no	21	and it was just something that I added quite late in
22	and I've said this before purchase is subsumed	22	the in the crafting of of this report.
23	within decisions. The way businesses make decisions	23	Q. To clarify the record, the report was done
24	there isn't a purchaser in most cases. There's	24	fairly quickly or the pilot study was done fairly
25	multiple people involved in purchase. There's often	25	quicly?
	206		208
1	a technical specifier, there's often a financial	1	A. Well the pilot study was done fairly quickly
2	decision maker. There may be users. There may be	2	and much of the report was done before the pilot
3	a whole host of individuals who are involved in the	3	study was completed, so I had relatively little time
4	decisions, the and to say purchase, actually	4	to add the results in to the final draft.
5	connotes that the individual might actually be the	5	Q. How much was CSRS paid?
6	one who writes the order form and sends the check.	6	A. My recollection is about 2000 dollars the
7	They may know nothing about what they're buying.	7	pilot really was construct the in such a way that we
8	They all be done by somebody who understands the	8	agreed they would do 20 hours worth of calling.

9 technical needs, the financial needs of the

organization. So it's important to talk about this 10

- in terms of the decisions whether or not they were 11
- 12 the implementer of the purchase or not. I think
- decision size a much more appropriate term for what 13
- we were looking for here than purchase, which has a 14
- very specific connotation in a business. 15
- 16 Q. Let's talk about the word decision. Why
- didn't you ask to speak with the person made the 17 decision to purchase the ECM additive? 18
- 19 A. Because if I had asked for the person who
- purchased the ECM additive, I would have conducted 20
- that that's for whom the survey was being conducted. 21
- 22 Q. And you believe the individuals who were
- 23 surveyed her didn't know for whom this was being 24
- conducted? A. I don't know whether they knew or not. We 25

- 8 agreed they would do 20 hours worth of calling.
- 9 That would be what constituted the pilot. So as
- 10 many as interviews as they could conduct in 20 hours
- 11 was was the scope of their assignment.
- Q. Let me show you what's been marked as 12
- 13 Stewart ten and I'll provide a copy to counsel. The
- 14 formatting may be slightly different but this is a
- 15 set of data collected from the pilot study correct? 16 A. That's correct.
- Q. The file was produced to complaint counsel 17
- 18 and labeled I'm going to read this slowly ma'am.
- 19 Capital P partial, manufacturers capital M, under
- 20 score data, under score five dash two zero space two
- 21 XLS. Who gave it that label?
- 22 A. That was probably the label given by begin
- 23 to it by California survey research.
- 24 Q. Was there a file number one?
- 25 There could have been an an incomplete A.

211 1 simply an incomplete file. 1 version of this file. I asked for reports of the 2 results and so I think I may have gotten one that 2 Q. And you believe there's a more complete file 3 3 may have had maybe the first four or five responses out there somewhere? 4 A. I do. 4 and they just tacked on the others as we completed 5 interviews. 5 Q. And it would be possible to obtain that if 6 it hasn't been produced to complaint counsel? 6 Q. Do you have a copy of the earlier file? 7 7 A. I may. I don't I don't recall. A. I'm certain of that. 8 Q. If that was not produced to us I assume 8 Q. You understand these eight survey you'll be willing to produce that to us? 9 respondents to be ECM customers that purchased the 9 10 A. I don't have any problem with that. 10 ECM additive correct? 11 Q. If we look at your report, page between, the 11 A. That's correct. Or representatives of the 12 sentence beginning with the very last two words on 12 organizations purchased. 13 the page? 13 Q. Let me just back up to something that's 14 A. Mm-hmm. 14 probably self evident but with respect to question 15 Q. Really on page 28 but we'll start on page 15 five A where there's only one response in the event 16 27. Ten customer representatives participated in a 16 because maybe I've missed it or because you haven't 17 telephone interview carried out by interviewers 17 produced it to us yet you would agree with us that 18 employed by California research services have I read 18 neither the court nor complaint counsel can make 19 that correctly? 19 reasonable assessment of the results of question 20 A. You have. 20 five A correct? 21 Q. Why does what's been marked as Stewart ten 21 A. I absolutely agree. 22 Q. Again, I think you just answered but I'll 22 contain data for only eight companies? 23 A. I don't know they she carry, there should be 23 ask again. You understand that these eight survey 24 ten. Perhaps you got the wrong file but there were 24 respondents in the manufacturers pilot study that 25 ten companies. 25 we're aware of are customers who purchased the ECM 210 212 1 Q. If you have access to those two additional 1 additive correct? 2 companies I assume you'll provide that to us? 2 A. They are representatives of customer 3 A. Be happy to do that. 3 organizations yes. 4 **O.** Is there anything else that complaint 4 Q. Why would a plastic productions manufacturer 5 counsel could do to get that information? 5 purchase the ECM additive if that manufacturer was 6 A. I I'm certain that I can I can find the not interested in making their products 6 7 biodegradeable? 7 other two responses it just looks like an incomplete version of the data file so I'm certain there is a 8 A. I don't know. 8 9 version of this that has the ten customers in it. 9 Q. And you're not offering well let's actually 10 Q. Am I correct that looking at this data, one 10 go to question eight. Question eight is does the 11 where it's you know take a look at the first page, 11 term biodegrade suggest or imply to you any amount 12 one means that the respondent answered yes and two 12 of time by which decomposition will occur did I read 13 means that the respondent answered no. 13 that correctly? A. Did you. 14 14 A. Thatwould be correct. 15 Q. And if you look back at the screen shots to 15 Q. Now if you'll return before we go further 16 take a look at the questions, question five asks is 16 are you offering any opinions regarding the

biodegradability an important consideration in your

Q. The data in Exhibit 10 ask includes only one

A. What we have here includes only one response

25 to that question. Again it looks to me like this is

18 selection of the plastic materials and supplies used

19 in production and packaging in your organization.

20 Have I read that correctly?

23 response to that question correct?

A. You have.

17

21

22

24

- 17 responses you received to question eight?
  - 18 A. Only in the most general form. And that is
  - 19 that even among customer organizations, there is
  - 20 variability in what the responses are, not
  - 21 inconsistent with the variability we saw among the
  - 22 end user customers.
  - 23 **Q.** Let's look at question six. That question

24 asks how would you define biodegradability correct?

25 That's correct. A.

	213		PUBLIC DOCUMENT 215
1	Q. Let's take a look at the first answer.	1	in less than a year?
2	Using ASTM 6400 and then there's a P, either that or	$\begin{vmatrix} 1\\2 \end{vmatrix}$	A. Again if the standards as you represented it
3	ASTM D5511 P that's all. Did I read that correctly?		I think that's a reasonable interpretation.
4	A. You did.	4	Q. There's another person who responded I think
5	Q. Do you have an understanding as to what ASTM		it's toward the middle, fourth from the bottom, that
6	6400 refers to?	6	the product will be completely decomposed within one
7	A. Not in detail. It's apparently a standard		to three years, have I read that correctly?
8	but I don't I'm not familiar with the standard.	8	A. You have.
9	Q. And I understand it isn't your area of	9	Q. So out of the eight, three could be
10	expertise	10	characterized based on assumptions that I've given
11	A. Yeah.	11	you as giving time frames of a year or less and the
12	Q. But I'm going to ask you to assume that it	12	fourth gave one to three years correct?
13	refers to ASTM P6400 which is a test that's	13	A. That's fair yes.
14	sometimes used to assess biodegradability. And I'm	14	Q. Why didn't you ask ECMs customers how they
15	going to further ask you to assume that it's a task	15	understood ECMs claim that it's additive renders
16	that's run for less that a year do you understand	16	plastic 100 percent biodegradeable?
17	those assumptions?	17	A. Because I wasn't attempting to test ECMs
18	A. I do.	18	claims. I was again as in the consumer survey
19	Q. What does ASTM D55 11 refer to?	19	attempting to test what the understanding of these
20	A. Again it's a standard but again I it's	20	respondents was of what biodegradability means.
21	beyond my expertise.	21	Q. You may have just told me this but you are
22	Q. Again, I'll ask you to assume that ASTM D	22	not offering any opinion then regarding how ECMs
23	5511 is a test that is sometimes used to assess	23	customers understood ECMs claim that it renders it's
24	biodegradability and further assume that it's a test	24	claim that it, lame 100 percent piedable?
25	that's run for considerably less than a year. Do	25	A. That was not the purpose of the survey.
	214		216
1	you understand those assumptions?	1	Q. Why didn't you ask ECMs customers how they
2	A. I do.	2	understood ECMs claim that it's additive renders
3	Q. Given those assumptions it would be fair	3	plastic biodegradeable within nine months to five
4	wouldn't it to consider this persons response to be	4	years in most land fills?
5	one that understands biodegradation is something	5	A. Because again I wasn't interesting in
6	that happens in less than a year?	6	testing claims in this survey I was interested in
7	A. If the standards are what you represent yes	7	understanding gaining insight into their general
8	I would agree.	8	understanding of biodegradability as it might relate
9	Q. Let's look at the second response the	9	to plastics.
10	ability to make materials dissolve within a year.	10	Q. You're not offering any opinion regarding how ECM's customers understood ECM's claim that its
11 12	Is it fair to consider this person's response to be one that understands biodegradation is something	11 12	additive renders plastics biodegradeable in nine
12	that happens in less than a year?		months to five years in most landfills?
13	A. I would agree with that.	13	A. I am not.
15	Q. Let's look at the next to last response on	15	Q. Why didn't you ask ECM's customers how they
16	the page. Something that would break down according	16	understood ECM's claim that its additive renders
17	to ASTM 6400 standards. Did I read that correctly?	17	plastic biodegradeable in some period greater than a
18	A. You did.		year?
19	Q. I'll again ask you to assume that ASTM D 64	19	A. Again this was not intended to test specific
20	hundred is a test that is sometimes use today assess	20	claims of ECM. It was intended to gain insight into
21	biodegradability and further ask you to assume that	21	general understanding of biodegradability
22	it's a test that's run for less than a year. Given	22	specifically within the content of plastic and
23	those assumptions it would be fair wouldn't it to	23	plastic products.
24	consider this persons response to be one that	24	Q. You're not offering any opinion regarding
25		0.5	have ECMs another and another d ECMIs along the tite

25 understands biodegradation is something that happens

54 (Pages 213 to 216)

25 how ECMs customers understood ECM's claim that its

	217		PUBLIC DOCUMENT 219
1	additive renders plastics biodegradeable in some	1	diversity in the responses and whether they
2	period of time greater than a year are you?	$\frac{1}{2}$	communicated that to ECM, I don't know I just know
3	A. I am not.	3	that there was a decision made not not to proceed
4	Q. The pilot study was never rerun as a full	4	with the larger survey and part of that will
5	scale study was it?	5	decision was simply we had run out of time.
6	A. It was not.	6	BY MR. COHEN:
7	Q. You were aware of what the pilot study	7	Q. You don't remember the entire, the details
8	responses were before it was decided that the pilot	8	in full of that communication though do you?
9	study would not be rerun as a full scale study	9	MR. AWERBUCH: Objection you don't have to
10	correct?	10	
11	A. I was.	11	THE WITNESS: I can't and I don't remember
12	Q. Emord and associates was aware of what the	12	the details of the communication.
13	pilot study survey responses were before it was	13	BY MR. COHEN:
14	decided that the pilot study would not be rerun as a	14	Q. Why was the pilot study not rerun as a full
15	full scale study; correct?	15	scale study?
16	A. Actually I don't believe they were aware of	16	A. I don't know all of the reasons that may
17	the specific results I had given them a brief	17	have gone into it. I do know that we were we were
18	description but I don't I don't think I had shared	18	getting very close to the deadline for when the
19	the spreadsheet or the results with them prior to	19	report was due and I and I indicated that I did not
20	our making a decision to not to run a full survey.	20	think we could get a full blown survey done in time
21	Q. You would given them aim description of the	21	
	results?	22	1 2
23	A. Yes.	23	
24	Q. ECMwas aware of what the pilot Saturday	24	1 ,
25	responses were before it was decided that the pilot	25	estimated that it would we were going to run out of
	218		220
1	study would not be rerun as a full scale study	1	time before we could complete a full blown survey.
2	correct?	2	Q. Well how many respondents would you need to
3	A. I don't believe that's correct either. I	3	contact before you could complete a full blown
4	don't believe I shared any of the specific results	4	survey?
5		5	A. Well I indicated that I would like to would
6	that there's considerable degree of variability much	6	like to have contacted as many as 25 percent of the
7	as we found in the consumer survey, and it and	7	people on the list. That would have been about 50
8	that's I believe all that was communicated prior to	8	plus people.
9	the decision not to run a larger survey.	9	Q. And you'll have to remind me when the dates,
10	Q. Was that the same verbal description that	10	
11	you proud to Emord and associations?	11	A. Late May, maybe even early June. I believe.
12	MR. AWERBUCH: Objection that's	12	Q. Does the absence of a shared understanding
13	attorney-client privilege.	13	among consumers about a particular fact mean that
14	THE WITNESS: Well I mean first of all I	14	deception cannot occur?
15	don't think I would have provided it to ECM	15	A. I'm sorry.
16	directly. It would have all been through Emord.	16 17	Q. Ever ma'am if you can just read that back
17 18	Q. But Emord and associates was provided with	17	please read read? A. Well if deception can occur in individual
10	general description of the survey results just not	19	
20	the specific survey results correct?	20	
20	THE WITNESS: Well.	20	struggling a little bit with your question because
21	MR. AWERBUCH: Objection.	$\begin{vmatrix} 21\\22 \end{vmatrix}$	
23	THE WITNESS: They were provided with my	23	absence of a shared fact and I'm I don't know how to
	verbal description of what I thought the results		respond to that.

- 25 were revealing which was that there was a lot of
- Q. It's only necessary that a legally relevant 55 (Pages 217 to 220)

	221		PUBLIC DOCUMENT 223
1	minority of consumers share an understanding	1	earlier in the day. Let's assume that one of the
2	correct?	2	marketers is capitalizing on consumers false beliefs
3	MR. AWERBUCH: Objection.	3	with respect to biodegradation times and further
4	THE WITNESS: That's my understanding yes.	4	more assume that that particular marketer is doing
5	BY MR. COHEN:	5	so intentionally. Would that be sufficient for a
6	Q. So let's assume there are two hundred 50	6	finding of liability under the FTC act?
7	million American consumers and if you have a better	7	A. I you'll have to and we discussed this
8	ballpark I'd be happy to adopt your assumption. Is	8	earlier today. You'll have to explain to me what
9	that my assumption all right?	9	you mean by capitalize.
10	A. Sure.	10	Q. Imagine that the marketer is aware that
11	Q. Assume that each of those consumers hold a	11	consumers misunderstand what the word biodegradeable
12	different understanding for a product to biodegrade	12	means and the marketer knowingly under takes a
13	so there are two hundred 50 million different	13	campaign that they understand will miss lead
14	understandings. Do you understand that assumption?	14	consumers. Is that sufficient for FTC act
15	A. I do understand that.	15	liability?
16	Q. Further assume that 20 percent or 50 million	16	A. Again it could be but it depends on depends
17	of those consumers understand that the time it takes	17	on a lot of other, a lot of other facts.
18	for a product to biodegrade is some quantum of time	18	Q. So it might not be the case?
19	one year or less. Do you understand that	19	A. It might not be the case.
20	assumption?	20	Q. Does the fact that some proportion of
21	A. I understand.	21	consumers are skeptical of a claim mean that
22	Q. Can those consumers in that 20 percent be	22	deception can customer?
23	deceived?	23	A. Deception could occur, not everybody may be
24	A. Well it can be but that fact alone doesn't	24	skeptical, but to the extent that people discount
25	mean they have been deceived.	25	ape claim and don't use it for decision making for
	222		224
1	Q. What additional fact does are necessary to	1	those individuals it would not be material so
2	dish that they have been deceived?	2	deception would not occur but it certainly could be
3	A. That the belief was created by actions or	3	the case that there certainly are consumers who are
4	Nactions of the manufacturer or the marketer and	4	not skeptical.
5	that the belief was material to some behavior for	5	Q. It's the case isn't it that sometimes when
6	purchase decision.	6	consumers are surveyed, consumers who answer I don't
7	Q. Imagine that there's stick with the same	7	know to a question might have a view but just not
8	hypothetical imagine that there's a hundred	8	one that the survey respondent feels sufficiently
9	marketers and they are all in some minor way	9	certain to share?
10	contributing to the false belief that's at issue	10	A. I guess. I think we discussed that this
11	here. Is that sufficient for liability of any one	11	
12	of those marketers?	12	Q. Researchers might be able to learn that
13	A. I would I would need to know's great deal	13	respondent's view by probing or encouraging a
14	more that be you've indicated I'd need to know what	14	1
15	those marketers were doing what they're doing is if	15	A. That's precisely why we used a personal
16	what they're doing is actually having an impact on		interview on the telephone was that we could
17	consumers, what other sources of information may be	17	encourage those respondents to offer their opinions.
18	available, you know a major source of information	18	Q. And there actually could be a lot of reasons
19	about biodegradability is actually the government,	19	
20	so I'd like to have some understanding of the degree	20	share his or her view on the first inquiry correct?
21	of which their actions may be dominated by	21	A. That's correct.
22	government communications or the or the or the media	22	Q. We don't need to go through them all but one
23	generally, so I you know I I can't answer that	23	might be the prospect much embarrassment if they got it prope?
	question in the abstract.		it wrong?
25	Q. Let's go back to something we discussed	25	A. That's a possibility.

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1 direction of people being embarrassed because they 1 Q. All right just quickly 'cause you're an 2 expert in this area are there other possibilities 2 can't give an answer. And you know the fact that 3 that come up frequently? 3 there is a live person there is actually a motivator 4 for people to respond. So I -- I wouldn't say that 4 A. Maybe embarrassment. May just be you know 5 an individual has a certain tolerance or lack of 5 they're greater, that one is greater than the other in in that particular context. 6 tolerance or certainty or uncertainty they just want 6 7 to be sure before they offer an opinion. There Q. Assume that some portion of people who 7 8 could be there could be some social buttons, desire 8 answer I don't know when asked about a 9 biodegradation time regardless of the motive method 9 bilt component that you know they don't want to 10 answer a question because they think it reflects 10 of survey, actually have a view as to the correct 11 negatively on them or positively on them so there's 11 answer, do you understand that assumption? 12 a number of reasons. 12 A. I think. I mean there's an an assumption 13 Q. One struck me as particularly interesting is 13 here that there is a correct answer. 14 that different people have different understanding 14 Q. No I'll withdraw the question and I'll or beliefs as to how certain they need to be before 15 repeat it because I don't 19suggest that there is a 15 16 they feel comfortable answering a question. correct answer. I'm merely meaning to suggest that 16 17 A. Yes that's correct and I'm going to stop you 17 the person may think there's a correct answer? 18 because I need to take a break. 18 A. Fair enough. 19 19 Q. That's okay. Recess. Q. So assume that some portion of people who 20 MR. COHEN: 20 answer I don't know when asked about biodegradation 21 21 BY MR. COHEN: time actually have a view as to the correct answer, 22 do you understand that assumption? 22 Q. We were discussing the potential prospects 23 for embarrassment in the context of survey research. 23 A. I do. 24 24 Q. Given that assumption do you have any reason A. Or reasons why people may be reluctant to 25 to believe that those people as a group are 25 give responses and say I don't know. 226 228 1 Q. Very fair. Is the prospect, but the 1 demographically different from people who gave 2 prospect for embarrassment would be one such reason? 2 responses other than I don't know? 3 A. In in some cases yes that's true. 3 A. It is it is conceivable that they may be 4 **Q.** Is the prospect for embarrassment greater 4 different in terms of their perceived self efficacy, 5 than in an in person interview a mall enter 5 that is their sense of personal control and personal September interview or in a telephone interview with knowledge of the world and generally we find that 6 6 a live interviewer? people who are stronger in self efficacy tend to be 7 7 8 A. It would probably be greater with a live people with more resources, more highly educated, 8 9 interviewer in a mall. 9 higher incomes. So that in that way there may be a 10 Q. Is the prospect greater for embarrassment in 10 link between demographics and the tendency to say I 11 a telephone interview with a live interviewer or in 11 don't know. 12 an on line survey? Q. I don't may be to be flip but how confident 12 13 A. In most cases it would be greater but not 13 are you in that response? 14 large in the case of a telephone say. 14 A. I think I'm pretty confident in that 15 Q. If a number of people have fuse as to the 15 response. 16 correct answer to a question but not complete 16 Q. Given the assumption that I asked you to confidence one would expect them to be more likely make, do you have any reason to believe that people 17 17 18 to answer I don't know in a telephone survey in with 18 who answer I don't know as a group would have a 19 a live interviewer than an on line survey correct? 19 different distribution of views than people who 20 A. I need you to read that back read read. 20 express their views immediately? 21 A. No I wouldn't agree with that. 21 A. No there's literature on the I don't know 22 **Q.** Why not? 22 response and that literature generally finds that 23 A. Just as embarrassment could work in the 23 you don't really change the distribution of 24 responses substantially based on kind of forcing

25

24 direction of people not wanting to respond because

25 they may be wrong it could also work in the

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people not to have, not to use I don't know. So

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1 we'd have fewer people who make the response.	1 Q. Given that assumption do you have any reason
2 <b>Q.</b> Assume that some portion of people who	2 to believe that these people as a group are
3 answer equivocally when asked about biodegradation	3 demographically different from people who gave
4 time actually have a view as to the correct answer.	4 responses?
5 Do you understand that assumption?	5 A. They may be different demographically I
6 A. Again they have a view that they know the	6 think it would depend on what the nature of the
7 correct answer.	7 survey was. Some people are particularly more
8 Q. That's correct?	8 educated people more high people with higher incomes
9 A. Okay. Yes.	9 are less likely to want to respond to surveys
10 <b>Q.</b> I'm not saying there is a correct answer?	10 because they consider it an imposition on their time
11 A. Okay.	11 but by the same token we find that the other end of
12 <b>Q.</b> I'm saying that they're answering	12 the income distribution there's also a reluctant of
13 equivocally. They're saying it depends. I'm not	13 people to participate so in some ways the the
14 entirely sure. Something along those lines. An	14 demographics kind of wash out. Center.
15 equivocal answer. Assume that some portion of	15 Q. So the answer to my question is no?
16 people who answer equivocally when asked about	16 A. Well it's a more subtle answer than that
17 biodegradation time actually have a view as to the	17 there are demographic factors at work but because
18 correct answer. Do you understand that assumption?	18 there are multiple factors at work there's a
19 A. When you say answer equivocally what do you	19 canceling effect that tends to occur in the
20 mean?	20 aggregate.
21 Q. Let me withdraw the question. And say let	21 Q. Understood so I think I understand there may
22 me I'll withdraw the question because I think you're	22 be some demographic differences but there's enough
23 raising a fair objection. Let me ask you something	23 it demographic diss and such demographic differences
<ul><li>24 else. What's a protest response?</li><li>25 A. A protest response can take one of two</li></ul>	<ul><li>24 that they're off setting so there's no net effect?</li><li>25 A. That's correct.</li></ul>
230	232
1 forms. One is a protest to being involved in a	1 <b>Q.</b> Given the assumption that I've asked you to
2 survey, that is so you know I don't like being	2 make do you have any reason to believe that such
3 interrupted in trying to get my contact, my content	3 people providing protest responses as a group would
4 on Google survey so I respond by saying get out of	4 have a different distribution of views than people
5 here. That's a protest. Another protest response	5 who express their views immediately?
6 would be one that is offered as more as a	6 A. I I don't know one way or the other. Again
7 substantive opinion, you know I you know I want to	7 I think it would depend on the issue.
8 protest my view that all products should be	8 Q. And you're not giving an issue about that in
<ul><li>9 biodegradeable or you know no products are</li><li>10 biodegradeable where people actually have a point of</li></ul>	<ul><li>9 this matter are you?</li><li>10 A. I'm not.</li></ul>
11 view that they're trying to express.	11 <b>Q.</b> In what respect if any is the population in
12 <b>Q.</b> In fairness the first example you will gave	12 Professor Frederick survey not properly chosen and
13 was an example involving the Internet and I don't	13 defined?
14 think that's an unfair example but isn't it also a	14 A. First of all we don't nope what the
15 protest response if someone gets a call from a	15 population is so without a definition of the
16 telephone researcher and hangs up the phone?	16 population it's very difficult to know whether it
17 A. Sure I would agree that they don't like	17 has been chosen properly.
18 being interrupted.	18 <b>Q.</b> Is it not properly chosen and defined for
19 <b>Q.</b> Assume that some portion of people who give	19 any other reasons?
20 a protest response when asked about biodegradation	20 Å. Well it's just not defined. It's not clear
21 time actually have a view as to a correct answer.	21 who is in the population so we start with an ill
22 They just don't want to give it because they don't	22 defined population and then we can move to the
23 like being interrupted do you understand that	23 sampling frame and it's not clear the sampling frame
24 assumption?	24 is representative of that undefined population. So
25 A. I do.	25 it's a you know it's just a problem that builds on

24 is representative of that undefined population. So
25 it's a you know it's just a problem that builds on
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1	itself I mean if you can't define the population you	1	action. So this interferes with a motivated
2	can't know whether the sample represents that	2	behavior in which they're engaged. The telephone
3	population. If you don't know what the sampling	3	call they may not want to participate they may just
4	frame is you can't determine whether the sample is	4	want to hang up but it doesn't interrupt their their
5	representative of the population and you sure can't	5	their goal driven behavior. They're not trying to
6	tell anything if the sampling, if the unknown	6	accomplish something else. Yeah it's interruption
7	sampling frame reflects an ill defined population.	7	but sorry I don't have time you hang up. It doesn't
8	Q. Assume that Professor Frederick's chosen	8	interfere with a more goal driven behavior which is
9	defined population is American consumers. Was if	9	what happens with Google survey.
10	anything would be problematic with that definition?	10	Q. Is there any literature that you're aware of
11	A. Well, there's nothing wrong with that	11	that indicates that the interference with the sort
12	definition. Of the population. Now the problem	12	of goal driven behavior that Google consumer surveys
13	becomes one of the sampling frame.	13	capitalizes on result in biased result?
14	Q. Okay we'll move to the sampling frame in a	14	A. As I think I indicated earlier Google says
15	moment. We'll move to the salveling frame now. In	15	has been around for a very short period of time so
16	what respect if any is the sample chosen in	16	there's very little literature that speaks to the
17	Professor Frederick study not representative of the	17	validity or the biases that may be present beyond
18	population of American consumers?	18	what we've talked about earlier.
19	A. It is it is selected based on peoples	19	Q. My question was specific to not Google
20	presence at a particular web, at a small number of	20	consumer says is an example but is there literature
21	specific websites that that are not representative	21	more generally it could be from 50 years ago that
22	of even people who traffic the Internet. That's the	22	talks about the fact that the nature of a survey is
23	primary reason.	23	such that interferes with some form of minor goal
24	Q. Are there other reasons?	24	driven behavior means that the results that that say
25	A. They they are not representative because	25	produces are likely to be skewed or inaccurate in
	234		236
1	they have been enter Sentembered. Longely against	1	aomo morel
1	they have been enter Septembered. Largely against	$\begin{vmatrix} 1\\2 \end{vmatrix}$	some way?
2	their will. Which is a typical of of the typical survey research situation. It is they are not	$\begin{vmatrix} 2\\ 3 \end{vmatrix}$	A. I'm sure there is. I can't identify it as I sit here this afternoon.
3	representative in the sense that they are they may	4	Q. An assume that the sample Professor
	not be, as I indicated in my report they may not be		Frederick chose is I am perfectly representative but
	who they represent themselves to be. We have no way		still more representative than the sample you chose
7	of knowing who these people are. That's what makes		in your consumer study. Given that assumption would
8	them non representative.	8	you contend that Professor Frederick had failed to
9	Q. Are there any other objections related to	9	choose a sample will adequately representative of
10	the representative necessary of Professor Frederick	10	the population?
11	sample or to Google consumer surveys that you have	11	A. Well first of all I just reject the premise.
12	not mentioned in your report?		It is not a sample that is more representative than
12	A. I don't believe so.	12	the one I chose. So I mean you're basically asking
14	Q. You did mention that one issue with the	14	me to assume something that's factually incorrect.
14	representative necessary of the Google consumer	15	But if I make the assumption, then then clearly the
16	surveys sample is that people are being in effect	16	answer has to be yes. I mean you're asking me you
17	surveyed against their role did I under that	17	know is black black. Well of course black is black.
18	correctly?	18	You know but if I'm looking at a white piece of
19	A. That's correct.	19	paper and you say that's black assume that that's
20	Q. How is that different from someone who gets	20	black is it black, you know, under that assumption I
20	a telephone call that maybe they don't want to	21	have to say yes but it's you know it it it's not an
22	receive?	22	accurate representation of the facts.
23	A. It's it's different in the sense that in	23	Q. In what respect if any was the data gathered
23	order for an individual to access content that	24	in Professor Frederick studies not accurately
- r			
25	they're interested in, they have to perform some	25	reported?

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1 2	A. He doesn't code, again we've been through this, he doesn't code almost 40 percent of the	1Q. In what respect other than what you've2already told me did Professor Frederick not analyz
3	responses. Including responses that are clearly	3 the data you collected in accordance with accepted
4	plausible responses he transforms data in ways that	4 statistical principals?
5	makes it very represent testify very un	5 A. I've given you the precise.
6	representative of what the individual actually said.	6 Q. What statistical principle or principles did
7	Q. You're not contending that Professor	7 Professor Frederick violate?
8	Frederick false identified data are you. No I'm	8 A. One he does not base his statistic on all of
9	saying he I'm not saying he invented the data made	9 the available data. Almost 40 percent of the
10	up the data I'm simply saying the way he treated the	10 responses are ignored in the computations that he's
11	data was highly unusual highly selective and does	11 made. He's also transformed data in ways that are
12	not adequately represent what the data actually	12 non representative of what the data actually
13	show?	13 indicate and if you look at what he has done in
14	Q. You're not contending that the data received	14 terms of coding he doesn't even follow his own rules
15	from Google consumer says shows one thing but	15 consistently in many cases.
16	Professor Frederick reported it as something else	16 Q. Can you quantify in many cases?
17	are you?	17 A. I have not attempted to do a specific count.
18	A. Yes actually I am.	18 We have, I have only had the data in an in a
19	Q. In what respect are you making that	19 reasonably manageable analyzable form since late on
20	contention?	20 Friday I believe so I haven't been able to quantify
21	A. Well when he when he reports percentages and	21 it.
	he doesn't include in denominator responses that he	22 Q. You would agree though that there is some
23	did not code and those responses are 40 percent of	23 number where in consistent analysis of the data
	the sample, he's basically inflating percentages.	24 between let's say coders is too insubstantial given
_25	And that's that's an inaccurate presentation of the	25 the volume to affect the results?
	238	2
1	data.	1 MR. AWERBUCH: Objection.
2	Q. That strikes me as a dispute with his	2 THE WITNESS: I don't know what results
3	statistical methodology not an issue of accurate	3 we're talking about. I mean I the data are so
4		
	reporting of the data?	4 poorly organized and so poorly that I I don't know
5	A. No that's a problem with accurate reporting	5 how talk about an insubstantial problem it's like
5 6	A. No that's a problem with accurate reporting of the data. Statistics are summary of the data and	<ul><li>5 how talk about an insubstantial problem it's like</li><li>6 it's like saying I've got a barrel of rotten apples</li></ul>
5 6 7	A. No that's a problem with accurate reporting of the data. Statistics are summary of the data and to the extent he misreports misuses statistics he is	<ul><li>5 how talk about an insubstantial problem it's like</li><li>6 it's like saying I've got a barrel of rotten apples</li><li>7 might there be one that's not rotten somewhere in</li></ul>
5 6 7 8	A. No that's a problem with accurate reporting of the data. Statistics are summary of the data and to the extent he misreports misuses statistics he is not being accurate.	<ul> <li>5 how talk about an insubstantial problem it's like</li> <li>6 it's like saying I've got a barrel of rotten apples</li> <li>7 might there be one that's not rotten somewhere in</li> <li>8 the barrel. Possibly but there's so much that's</li> </ul>
5 6 7 8 9	<ul> <li>A. No that's a problem with accurate reporting of the data. Statistics are summary of the data and to the extent he misreports misuses statistics he is not being accurate.</li> <li>Q. What's the basis for your belief if you have</li> </ul>	<ul> <li>5 how talk about an insubstantial problem it's like</li> <li>6 it's like saying I've got a barrel of rotten apples</li> <li>7 might there be one that's not rotten somewhere in</li> <li>8 the barrel. Possibly but there's so much that's</li> <li>9 rotten that you would have difficulty finding it and</li> </ul>
5 6 7 8 9 10	<ul> <li>A. No that's a problem with accurate reporting of the data. Statistics are summary of the data and to the extent he misreports misuses statistics he is not being accurate.</li> <li>Q. What's the basis for your belief if you have one that Google consumer surveys does not accurately</li> </ul>	<ul> <li>5 how talk about an insubstantial problem it's like</li> <li>6 it's like saying I've got a barrel of rotten apples</li> <li>7 might there be one that's not rotten somewhere in</li> <li>8 the barrel. Possibly but there's so much that's</li> <li>9 rotten that you would have difficulty finding it and</li> <li>10 so they're you know there's this little trivial</li> </ul>
5 6 7 8 9 10 11	<ul> <li>A. No that's a problem with accurate reporting of the data. Statistics are summary of the data and to the extent he misreports misuses statistics he is not being accurate.</li> <li>Q. What's the basis for your belief if you have one that Google consumer surveys does not accurately report the data it collects?</li> </ul>	<ul> <li>5 how talk about an insubstantial problem it's like</li> <li>6 it's like saying I've got a barrel of rotten apples</li> <li>7 might there be one that's not rotten somewhere in</li> <li>8 the barrel. Possibly but there's so much that's</li> <li>9 rotten that you would have difficulty finding it and</li> <li>10 so they're you know there's this little trivial</li> <li>11 problem that's unsubstantial but all the rest are</li> </ul>
5 6 7 8 9 10 11 12	<ul> <li>A. No that's a problem with accurate reporting of the data. Statistics are summary of the data and to the extent he misreports misuses statistics he is not being accurate.</li> <li>Q. What's the basis for your belief if you have one that Google consumer surveys does not accurately report the data it collects?</li> <li>A. I didn't say it does not accurately report</li> </ul>	<ul> <li>5 how talk about an insubstantial problem it's like</li> <li>6 it's like saying I've got a barrel of rotten apples</li> <li>7 might there be one that's not rotten somewhere in</li> <li>8 the barrel. Possibly but there's so much that's</li> <li>9 rotten that you would have difficulty finding it and</li> <li>10 so they're you know there's this little trivial</li> <li>11 problem that's unsubstantial but all the rest are</li> <li>12 okay. That's not the case with this data. It's</li> </ul>
5 6 7 8 9 10 11 12 13	<ul> <li>A. No that's a problem with accurate reporting of the data. Statistics are summary of the data and to the extent he misreports misuses statistics he is not being accurate.</li> <li>Q. What's the basis for your belief if you have one that Google consumer surveys does not accurately report the data it collects?</li> <li>A. I didn't say it does not accurately report the data it collects. What I said is he did not</li> </ul>	<ul> <li>5 how talk about an insubstantial problem it's like</li> <li>6 it's like saying I've got a barrel of rotten apples</li> <li>7 might there be one that's not rotten somewhere in</li> <li>8 the barrel. Possibly but there's so much that's</li> <li>9 rotten that you would have difficulty finding it and</li> <li>10 so they're you know there's this little trivial</li> <li>11 problem that's unsubstantial but all the rest are</li> <li>12 okay. That's not the case with this data. It's</li> <li>13 fundamentally flawed data and you can't pick one</li> </ul>
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Q. Which questions if any do you contend are 1 to be labeled biodegradable unless it biodegrades 1 within this time period and then people were asked 2 unclear enough to render them invalid and you'll 2 3 for a time period you know without without 3 note that in appendix A there's a list of all of the qualifiers I don't know how people can give you a 4 questions? 4 5 5 reasonable response to that. A. Well I'm not sure that I follow your 6 questioning here in the context of was we were just 6 Q. And what was the sort, what would be the 7 7 talking about so you need to help me. Are we sort of qualifier that you're looking for there? 8 8 talking about analysis or are we talking about the A. The qualifiers might include the type of 9 9 questions. material the context in which it biodegrades, very similar to the other questions and when there's 10 Q. I won't help you. We're talking about the 10 questions. The reason that I'm asking is that your simply no context put around this coupled with the 11 11 12 report says Professor Frederick questions are 12 fact that federal regulators should not permit I 13 mean what does that what does that mean, which unclear. But it doesn't identify any specific 13 14 questions. So now I would like you to identify the 14 federal regulators, what does it mean should not specific questions that are unclear? 15 15 permit? You know does it mean that if something is A. Okay. All the questions are unclear to the 16 actually superior in terms of it's biodegradability 16 17 extent that they are interpreted as he does to be 17 that a marketer should be forbidden from from communicating that point of superiority? I mean 18 evidence of fact. These to ask people in contrast 18 there's there's no effort here to capture 19 to what I did where I was asking people for opinions 19 20 and and not a statement of fact, what he is doing is competitive advantage or differences among products. 20 21 asking questions that he is then transcribing into a It's asked all not guilty abstract as though 21 something is biodegradeable or it's not, when we 22 statement of fact. And I -- I genuinely believe 22 23 that if people had been asked question one A, if a 23 know that there are degrees of biodegradability, that that are not reflected in the survey. 24 package is labeled biodegradeable, okay, how long 24 25 Q. So if I understand you correctly there are 25 will it take to decompose, and were then given a 242 244 1 whole variety of qualifiers or caveats you would get 1 the problems you just articulated was with two Aand 2 very different responses. So for example if you 2 then there's the problem with all of the questions 3 were to say if a package or let's let's be more 3 regarding the lack of qualifiers are there any 4 specific. If a piece of paper or the package of a questions that are unclear for various reasons? 4 5 ream of paper is labeled biodegradeable how long 5 A. Well again I think you're asking people for 6 will it take to decompose. If a bicycle is labeled 6 very specific information factual information, that 7 7 biodegradeable how long will it take to decompose. that most people are just unlikely to know. So you 8 If a package is labeled biodegradeable and it were show people a label and you say if you saw this on a 8 9 put in your backyard how long would it talk to 9 water bottle how long would it take to decompose. decompose. If it were biodegradeable and it were 10 Q. Is that a reason for the question being 10 unclear or just a different type of problem with the 11 put into a landfill, how long would it take to 11 12 question? 12 decompose? The results of my survey show that quite a number of respondents have a clear understanding 13 A. Well it's it's unclear again it doesn't 13 that there is no definitive answer to these types of 14 include appropriate caveats qualifiers, and couples 14 15 with that there's no reason to believe that whatever 15 questions absent a variety of qualifiers. And so to the extent that these things are asked without 16 the response that the respondent gives, it has any 16 qualification, they're really they're really basis in fact or in information. So as I did in my 17 17 18 unclear. 18 survey you can ask their opinion but it really is 19 Q. If I understand you correctly all of 19 not a statement of of fact. 20 Professor Frederick questions are unclear for the 20 Q. Are there other reasons or specific 21 reason you just articulated. Are there any, are 21 questions why you, are there other specific 22 they hall unclear or are any specific questions 22 questions that you believe are unclear or other 23 reasons why you believe that all of the questions 23 unclear for any other reasons?

24 are unclear?

24

A. Well again I think when you have a question

25 like federal regulators should not permit a product

25 A. Most of my my problems are related to what

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1	what I've already articulated and that's simply that	1	you're using Google survey and it's not really a
2	there's there's simply inadequate information to	2	survey, it's a pay wall, that's not accepted
3	provide a basis for an answer in most of these cases	3	procedures and as I've indicated earlier, Google
4	even if the individual had an answer that was based	4	survey in my view, is not a market professional
5		5	market research firm so they, you know they're not
6		6	qualified by any stretch of the imagination. Maybe
7	are qualifiers there are caveats if they're provided	7	they will be in ten years but they're not qualified
8	you know influence their response.	8	
9	Q. Which if any of Professor Frederick	9	survey research. And in fact that's not actually
10	questions do you contend are leading?	10	their purpose in setting up Google survey any way
11	A. I may not have a complete catalog. But I	11	
12	believe two Atwo Btwo C, two D two E, the answer is	12	Q. Did the respondents in Professor Frederick
13	to the question is really kind of embedded in the in	13	survey no who response order his survey?
14	the question. There's an assumption here that you	14	A. Not to my knowledge.
15	know, people should not be allowed to or marketers	15	Q. Did Google consumer surveys no who response
16	should not be allowed to to miss lead. So there's a	16	order Professor Frederick's surveys?
17	there's a premise here you know that sets sets these	17	A. Not to my knowledge.
18	things up as is it misleading, well might not be	18	Q. Then the surveys double blind that regard
19	misleading but you've got a question that sort of	19	isn't it?
20	starts with you know I consider it misleading if it	20	A. No it's it's not double blind because you
21	failed to fully degrade within this amount of time.	21	had people who were engaged in the coding which is
	You know that that is suggesting wrong doing, it's	22	part of the analysis and part of making ready the
	implanting an idea in peoples heads that I think is	23	data who were very much aware of the purpose and
24		24	sponsor of the research.
25	Q. Are there others?	25	Q. But the respondents and the data collector
	246		248
1	A. I believe that 15 A, 15 B, are certainly		were not aware of the purpose of the research were
2	8	$\begin{vmatrix} 2 \\ 2 \end{vmatrix}$	<i></i>
3	respondent is they ought to simply do some multiply		A. Well I would submit that the person doing
4	indication to arrive at an answer. And are there	4	
5	others I see you're at the end. A. I am at the end.		There's a term that we use called making data and when you're coding is what you're really doing is
7	Q. So there are no others?	6	making data and so that's a part of the of the
8	A. Not that I can identify.	8	that's a part of the data collection process and to
9	Q. Did the respondents in Professor Frederick	9	the extent that your coders are not blind to the
10	strike that in what respect if any was Professor	10	· · · · · · · · · · · · · · ·
11	Frederick side not conducted by qualified persons		it's not it's not double blind.
12	following proper interview procedures?	12	Q. What evidence did you have do you have if
13	A. It was not double blind. He was using	13	any, that the coders who worked for Professor
14	apparently was using students to to do coding. You	14	Frederick made errors?
15	know these are not trained professional market	15	A. I did spot some cases where rules did not
16	researchers. And and very clearly as we've	16	appear to be followed appropriately. And and it
17	discussed, there were problems with with sampling, I	17	also appears to me that decisions about how certain
18	mean there there were problems with way that data	18	things were to coded are not coded were really
19	were coded. I mean these were all at variance with		problematic, as we talked about before when you're
20	accepted research methods.	20	
21	Q. Qualified persons following proper interview	21	that's that's a problem and a trained coder would
	procedures isn't really a metric that applies to	22	have identified that as a problem. And at minimum

24

- 23 Internet surveys is it?
- 24 A. But it is. I mean you still have you have
- 25 an automated interview, but to the extent that

23 those data would have been coded but they were not.

Q. At the first part of the your answer you

25 said you'd spotted errors, can you identify any in

	249		PUBLIC DOCUMENT 251
1		1	
1	particular?	1	that but I you know the coding is such a mess and so
2	A. I'm upon going to be able to find them out	2	poorly done, I had not tried to identify every
3	of 29,000 records. As I sit here this afternoon.	3	possible way it might, it might be wrong.
4	But there were cases where non numeric data was in	4	Q. And the specific question that I asked is
5	fact given a numeric code, there were cases where	5	not something you addressed in your report is it?
6	numeric data was coded in consistently, and so there	6	A. I think that's correct yes.
/	there there are there are some errors in the data.	7	Q. Let's focus on two categories of survey
8	Q. Are you offering any opinions in this case	8	response data that Professor Frederick collected in
9	regarding the data coded in Professor Frederick's	9	response to questions asking for biodegrade time.
10	studies relative to the data that was not coded	10	The first category is numbers plus a unit of time
11	other than the opinions your report contains?	11	like one year where one is the is the number and
12	A. I think my opinions in my report are are	12	year is the unit or 30 days, do you follow me so
13	pretty consistent that the I would simply elaborate	13	
14	that any statistics that are computed based on the	14	A. I do.
15	data that ignores the un coded responses is a	15	Q. The second category is only numbers like
16	misrepresentation of the data. I think I say that	16	one, nothing else, or 30, and nothing else do you
17	in my report I just want to be sure that I'm not	17	follow me?
18	record as making that clear.	18	A. I do.
19	Q. You understand in his initial report	19	Q. Assume that the numbers in the first
20	Professor Frederick did not code data in which the	20	category have approximately the same distribution as
21	survey respondent provided a numeric response but	21	the numbers in the second category. Given that
22	not a unit of time correct?	22	assumption, is it reasonable to assume that as a
23	A. That's what I understand although I think	23	group survey respondents in the first category have
24	there are some examples where that was done.	24	similar views regarding biodegradation time as
25	Q. You understand that that's the rule that at	25	survey respondents in the second category?
	250		252
1	least he was attempting to implement?		
	1 8 1	1	A. No.
2	A. I do understand that yes.	1 2	A. No. Q. Why not?
2 3		-	
3	A. I do understand that yes.	2	Q. Why not?
3	<ul><li>A. I do understand that yes.</li><li>Q. What understanding do you have if any,</li></ul>	2 3 4	<ul><li>Q. Why not?</li><li>A. Because we don't know what unit they're</li></ul>
3	<ul><li>A. I do understand that yes.</li><li>Q. What understanding do you have if any, regarding the number of responses that Professor</li></ul>	2 3 4 5	<ul><li>Q. Why not?</li><li>A. Because we don't know what unit they're referring to. Somebody says one without any time it</li></ul>
3 4 5	<ul> <li>A. I do understand that yes.</li> <li>Q. What understanding do you have if any, regarding the number of responses that Professor</li> <li>Frederick did not code because the survey responded</li> <li>provided a numeric response but not a unit of time?</li> <li>A. As I sit here today, I don't know a number.</li> </ul>	2 3 4 5 6	<b>Q. Why not?</b> A. Because we don't know what unit they're referring to. Somebody says one without any time it could be and we see this in the data, it could be one second, one minute, one day, one week one year, just the number one alone without a unit doesn't
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1	sophisticated customer defense are you not?	1	10 percent of people just said 30. Is it a
2	A. I I don't know what they're asserting but I	2	reasonable inference that the people who just said
3	certainly had that conversation with them about	3	30 meant 30 days?
4	sophisticated customers yes.	4	A. No it's not a reasonable inference. 30
5	Q. Do you understand that ECM to be arguing in	5	could refer to 30 years. You know so there's you
6	this case that it could not have deceived it's	6	know possibly some meant that but some didn't and
7	customers in part because they are sophisticated?	7	you don't know so you really can't use the data.
8	A. Again I have not been privy to all of the	8	Q. If it were the case and we've pointed I've
9	pleadings and legal arguments in the case but it's	9	pointed to one and 30 but there's obviously a number
10	my understanding that that is a part of their	10	of different numbers and combinations that I could
11	contention yes.	11	point to that the overall distribution of numbers
12	Q. Do you also understand ECM to be arguing in	12	and units provided is similar to the overall
13	this case that it could not have deceived and used	13	distribution of numbers provided. Is it at that
14	consumers because they're unsophisticated?	14	point a reasonable inference that the views with
15	A. I'm I'm less aware of that that particular	15	respect top biodegradation time are same in both
16	argument. I don't know what the I don't know what	16	categories?
17	the nature of that argument would be other than if	17	A. No.
18	people are completely unaware of the meaning of	18	Q. Why not?
19	something they can't use it. But I I don't have	19	A. Because you're mixing apples and oranges.
20	any real information to address that.	20	So what that the distributions are the same or
21	Q. Well let's assume that is in fact the	21	similar? That tells you nothing about the what the
22	argument. That because people are unsophisticated	22	responses really mean. The distributions could be
23	they're not aware of what biodegradation means and	23	very similar. But it could be because whatever the
24	therefore they can't be deceived do you understand	24	number is is a mixture of of you know 30 days, 30
25	that ECM is asserting that position?	25	weeks, 30 years, and it comes out you know the same
	254		256
1	A. I I've certainly had that conversation with	1	as people who said who said 30 years let's say. You
2	them again I don't know exactly what they're	2	know the distributions are constructed from
3	asserting, I mean as I said I'm not privy to all of	3	completely different responses of the again there's
4	the legal arguments in the case. I mean I I'm aware		nothing that you can do with data that lacks a unit
5	that there there is that point of view.	5	
6	Q. So there is the point of view that ECM could	6	Q. Let assume that you're absolutely correct
7	not have deceived and used customers because they	7	that for one particular number you can't draw any
8	are unsophisticated?	8	inferences. I'm unclear as to why if the overall
9	A. Yes I don't know what the legal argument is	9	distribution of all numbers in both categories is
10	but I do understand the consumer behavior argument	10	approximately the same you can't draw an inference
11	yes.	11	
12	Q. Let's back up for a moment. We were talking	12	A. Well now you've lost me. I don't I don't I
13	before about the circumstance where people gave	13	E
14	units without a measure of time versus units and a	14	5
	measure of time. Do you recall that conversation	15	Q. Well there are a number of number that's are given that are associated with units units of time
10	just a few minutes ago? A. I do.	16   17	given that are associated with units, units of time correct?
18 19	Q. And you indicated that there was nothing useful that could be accomplished or inferred from	18 19	<ul><li>A. That's correct.</li><li>Q. I'm making this up it to make it easier one</li></ul>
19 20	the data where people gave only units?	19 20	
20	A. That's correct well only numbers not units.	$\begin{vmatrix} 20\\21 \end{vmatrix}$	A. Mm-hmm.
21	<ul><li>Q. Only numbers, that's what I mean. Let's say</li></ul>	$\begin{vmatrix} 21\\22 \end{vmatrix}$	<b>Q.</b> And then there are a number of numbers that
	I want you to assume that people 10 percent of	23	are begin without numbers of time one two three four
	people gave as a response 30 days, so it's an it's a	24	
	number and a measure of time. And approximately	25	if it's the case that you can't draw an inference

	257		PUBLIC DOCUMENT 259
1	because the ones in the first category happen to be	1	have, copies of the reports that I got on the
	roughly the same percentage as the number of ones in	2	progress of the survey.
3	the second category, why does that mean that you	3	Q. Before I continue and I apologize, Mr. Hour
4	cannot draw an inference from the fact that the	4	
5	overall distribution of all of the numbers is	5	produce the copy of the customer list that was
6	approximately the same?	6	provided to Dr. Stewart correct?
7	A. Because you don't have, you don't have	7	MR. AWERBUCH: Actually I'm glad you brought
8	adequate information to to determine what that		it up counsel. We confirmed that we did provide all
9	actually means. I can do two random draws from a		lists that we provided to Dr. Stewart in our three
10	distribution that will very closely match one	10	-
11	another just just based on chance alone. That	11	MR. COHEN: Okay I'm not sure that that's
12	doesn't mean I mean that doesn't mean anything other	12	-
13	than you know there's some laws of probability at	13	MR. AWERBUCH: To the best of our knowledge
14	work. You have, you have no basis for placing any	14	of course but we did confirm, as Dr. Stewart
15	interpretation on those units, on those numbers that	15	testified there were two ways, and we have
16	are not identified by units.		identified both lists that were sent to you. The
17	Q. If I understand you correctly and I'm sure	17	original and the condensed one.
18	you'll correct me if I've got this wrong, is that	18	Q. And it's possible from the information you
19	one possibility, you seem to be excluding the	19	provided to determine which manufacturers were
20	possibility that that the views with respect to	20	spoken to?
21	biodegradation time in both categories are are the	21	MR. AWERBUCH: I don't know that that's
22	same. Are you excluding that possibility? It is	22	possible or not.
23	possible isn't it?	23	MR. COHEN: So if additional information is
24	A. Well negligent is possible. I'm not		necessary you'll provide that to us.
25	excluding that.	25	MR. AWERBUCH: We can discuss that.
	258		260
1	Q. You're saying it's not proven?	1	THE WITNESS: Well I can tell you that they
2	A. It's not proven.	2	don't know. I don't know. And that's because I
3	Q. And the reason that it's not proven if I		have an obligation to maintain the confidentiality
4	understood you correctly, is that it could occur by		of the respondents and so there's simply no way that
5	chance?		I can share information on who was spoken to
6	A. It it certainly could occur by chance yes.	6	specifically.
7	Q. And is there another reason other than it		BY MR. COHEN:
8	occurs by chance, it occurs because the fact the	8	Q. So if I understand correctly Emord and
9	views are the same. Is there a third thing out	9	
10			
11	A. No. I mean the most, the most logical	11	τ <b>Ι</b> τ
12	1		names of any companies that's your understanding
13	and you know you really can't draw any inferences	13	Dr. Stewart?
14		14	A. Well, no. I what I'm telling you is that
15	Q. Were there any emails writings or other	15	the identities of the are individuals who
10	written communications of any sort between you and the survey research firm CSPS, that conducted your	16	participated in the pilot are simply not going to be
17	the survey research firm CSRS, that conducted your studies?	17   18	
18 19	A. Not very many. If if there were, there	10	<ul><li>Q. And to whom are these available? To you?</li><li>A. I don't even know.</li></ul>
20	probably was one with some some cost estimates for	$\begin{vmatrix} 19\\20 \end{vmatrix}$	<b>Q.</b> They're available to someone under your
20	the the pilots and the surveys, and I I would	$\begin{vmatrix} 20\\21 \end{vmatrix}$	control?
$\frac{21}{22}$	have communicated to them a draft of the	$\begin{vmatrix} 21\\22 \end{vmatrix}$	A. Potentially yes.
			<b>Q.</b> Are they available to Emord and associate
23	duestionnaire and in the case of the manufacturers	11	
23 24	questionnaire and in the case of the manufacturers	23	
24	pilot I would have sent him a copy of the customer list and then of course you have reports that I		does no? Q. So Emord and associates would not have

Q. So Emord and associates would not have 65 (Pages 257 to 260) 25

	261		PUBLIC DOCUMENT 263
1	produced them to us?	1	I I often have to do surveys on very very short
2	A. No they would have produced the list what	2	notice. There's simply not time to go through the
3	I'm telling you is the identity of the specific	3	nice tis of developing a contract. So there's a
4	respondents in a manufacturers pilot they would not	4	great deal that gets done basically on the
5	know. I don't know actually.	5	telephonic handshake.
6	Q. You do understand that giving us a number	6	Q. What's your understanding as to why CSRS is
7	like a code case I.D. zero zero zero zero one	7	willing to undertake a then thousand dollar un
8	doesn't actually enable us to learn anything about	8	taking without a written contract?
9	that survey respondent correct. You know exactly	9	A. Because I have a relationship with them.
10	what the survey respondent said?	10	Q. If we assume that ECM biofilms paid CSRS,
11	Q. But it doesn't enable us to tell who the	11	then CSRS knew for whom it was conducting the
12	survey respondent was?	12	surveys correct?
13	A. That's exactly right.	13	A. Well the president or the accounting people
14	Q. So to the extent this is what he board and	14	would ultimately have known. That's true. The
15	sorts produce to us we don't know who the survey	15	people who performed the work would not have known.
16	respondents are correct?	16 17	Q. And you would have given me the same answer if Emord and according poid CSPS. The president
17	A. No and let's be clear what they puced to us	17	if Emord and associates paid CSRS. The president and accounting people might know for whom the work
18 19	are the lists that represented the sampling frame for the manufacturers pilot. I was very careful to	10	was being done but not the the researchers and
20	assure that no individual was identified by name.	$\begin{vmatrix} 19\\20 \end{vmatrix}$	supervisors correct?
20	Q. So complaint counsel based on information	$\begin{vmatrix} 20\\21 \end{vmatrix}$	A. That's correct.
21		$\begin{vmatrix} 21\\22 \end{vmatrix}$	Q. What if a researcher or supervisor simply
23	the manufacturers or the persons that participated	23	typed in the marketing claim from question five B in
24		24	Exhibit 2 into a search engine he?
25	A. That is correct.	25	A. I don't know what would transpire.
	262		264
1	Q. Who directly paid California survey research	1	
1			() If ECNI biofilms would have nonned up that
2		$\begin{vmatrix} 1\\2 \end{vmatrix}$	Q. If ECM biofilms would have popped up that would have given the survey researcher an indication
2	services or CSRV, to conduct the field work	$\begin{vmatrix} 1\\ 2\\ 3 \end{vmatrix}$	would have given the survey researcher an indication
3	services or CSRV, to conduct the field work associated with the surveys?	$\begin{vmatrix} 1\\ 2\\ 3\\ 4 \end{vmatrix}$	would have given the survey researcher an indication as to who was sponsoring the survey correct?
-	<ul><li>services or CSRV, to conduct the field work</li><li>associated with the surveys?</li><li>A. I I don't know whether it was the client or</li></ul>		would have given the survey researcher an indication
3 4	<ul><li>services or CSRV, to conduct the field work</li><li>associated with the surveys?</li><li>A. I I don't know whether it was the client or</li><li>the attorney. I believe the the invoice, my</li></ul>	4	<ul><li>would have given the survey researcher an indication</li><li>as to who was sponsoring the survey correct?</li><li>A. Sure and if they had run into somebody in</li></ul>
3 4 5	<ul><li>services or CSRV, to conduct the field work</li><li>associated with the surveys?</li><li>A. I I don't know whether it was the client or</li><li>the attorney. I believe the the invoice, my</li></ul>	45	<ul><li>would have given the survey researcher an indication</li><li>as to who was sponsoring the survey correct?</li><li>A. Sure and if they had run into somebody in</li><li>an airport and overheard a conversation that might</li></ul>
3 4 5 6	<ul><li>services or CSRV, to conduct the field work</li><li>associated with the surveys?</li><li>A. I I don't know whether it was the client or</li><li>the attorney. I believe the the invoice, my</li><li>instructions were to send the instruction to e board</li></ul>	4 5 6	<ul><li>would have given the survey researcher an indication</li><li>as to who was sponsoring the survey correct?</li><li>A. Sure and if they had run into somebody in</li><li>an airport and overheard a conversation that might</li><li>have happened too. It's unlikely but anything is</li></ul>
3 4 5 6 7	services or CSRV, to conduct the field work associated with the surveys? A. I I don't know whether it was the client or the attorney. I believe the the invoice, my instructions were to send the instruction to e board but I don't know who cut the check.	4 5 6 7	<ul><li>would have given the survey researcher an indication as to who was sponsoring the survey correct?</li><li>A. Sure and if they had run into somebody in an airport and overheard a conversation that might have happened too. It's unlikely but anything is possible.</li></ul>
3 4 5 6 7 8	<ul> <li>services or CSRV, to conduct the field work</li> <li>associated with the surveys?</li> <li>A. I I don't know whether it was the client or</li> <li>the attorney. I believe the the invoice, my</li> <li>instructions were to send the instruction to e board</li> <li>but I don't know who cut the check.</li> <li>Q. For who are is the contract with the work</li> <li>with CSarrive Swith one party who is the counter</li> </ul>	4 5 6 7 8	<ul> <li>would have given the survey researcher an indication as to who was sponsoring the survey correct?</li> <li>A. Sure and if they had run into somebody in an airport and overheard a conversation that might have happened too. It's unlikely but anything is possible.</li> <li>Q. Has CSRS always been known by that name?</li> <li>A. At one time they were simple landfill</li> <li>California survey research ink and I think they have</li> </ul>
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3 4 5 6 7 8 9 10 11 12	<ul> <li>services or CSRV, to conduct the field work associated with the surveys?</li> <li>A. I I don't know whether it was the client or the attorney. I believe the the invoice, my instructions were to send the instruction to e board but I don't know who cut the check.</li> <li>Q. For who are is the contract with the work with CSarrive Swith one party who is the counter party?</li> <li>A. Women the billing would have been sent to he board.</li> </ul>	4 5 6 7 8 9 10 11 12	<ul> <li>would have given the survey researcher an indication as to who was sponsoring the survey correct?</li> <li>A. Sure and if they had run into somebody in an airport and overheard a conversation that might have happened too. It's unlikely but anything is possible.</li> <li>Q. Has CSRS always been known by that name?</li> <li>A. At one time they were simple landfill</li> <li>California survey research ink and I think they have changed their name, I don't know exactly when but to California survey research services Inc.</li> </ul>
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3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19	<ul> <li>services or CSRV, to conduct the field work associated with the surveys? <ul> <li>A. I I don't know whether it was the client or the attorney. I believe the the invoice, my instructions were to send the instruction to e board but I don't know who cut the check.</li> <li>Q. For who are is the contract with the work with CSarrive Swith one party who is the counter party?</li> <li>A. Women the billing would have been sent to he board.</li> <li>Q. The billing was sent to he board but who was the counter party to the contract?</li> <li>A. Well there was no written contract with the survey research company.</li> <li>Q. Is it typical for there not to be a written contract with the survey common particularly when I'm</li> </ul> </li> </ul>	4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19	<ul> <li>would have given the survey researcher an indication as to who was sponsoring the survey correct?</li> <li>A. Sure and if they had run into somebody in an airport and overheard a conversation that might have happened too. It's unlikely but anything is possible.</li> <li>Q. Has CSRS always been known by that name?</li> <li>A. At one time they were simple landfill</li> <li>California survey research ink and I think they have changed their name, I don't know exactly when but to</li> <li>California survey research services Inc.</li> <li>Q. Does CSRS have any corporate affiliates?</li> <li>A. Not to my knowledge.</li> <li>Q. What is the total number of surveys you've conducted through CSRS and any predecessors to SCRS?</li> <li>A. I don't know over 20 years several dozen.</li> <li>Q. What's the total amount paid to CSRS and any predecessors for those surveys?</li> </ul>
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	265		PUBLIC DOCUMENT 267
1	Q. Is that in the range?	1	or so for today is that a reasonable ballpark
2	A. I doubt that it's quite that high, but it it	2	
3	could be over a half a million yes. And I'm going	3	A. Close enough. Yeah.
4	to need to take another break.	4	Q. Yeah. So then that would add another 7500?
5	MR. COHEN: That's fine and I'm sympathetic	5	A. Yeah. Mm-hmm.
6	to that we'll go off the record.	6	Q. So the outstanding balance as we sit here
7	(Recess)	7	today again this I understand is an approximation is
8	MR. COHEN: Let's go back on the record.	8	about \$37,500?
9	BY MR. COHEN:	9	A. That's probably close yeah.
10	Q. Do you have any surveys under way with CSRS	10	Q. What did you do to prepare for today's
11	now?	11	deposition?
12	A. I have nothing nothing that's active at the	12	A. I reread my report, I spent some time with
13	moment. I have some discussions of potential	13	Dr. Fredericks report, I had a brief conversation on
14	surveys but no, no active projects.	14	Friday with counsel. And that's pretty much it.
15	Q. Is there any survey research withdrawn is	15	Q. Without explaining the substance of the
16	there any research including survey research that		conversation, who was on the call?
17	you conducted for ECM or in any way related to this	17	A. Eric was on the call and another attorney
18	litigation that has not been disclosed to the FTC?		
19	A. No.	19	Q. Could it have been Jonathan Emord?
20	Q. You're being paid \$750 an hour for your work	20	A. Could be yeah.
21	in this case correct?	21	Q. How many times have you testified as an
22	A. I am.	22	expert at trial?
23	Q. What's the total amount that you've received	23	A. I haven't made a specific count recently but
	so far?	24	
25	A. I've received one payment of about 64	25	Q. How many times have you testified as an
	266		268
1	hundred dollars so far.	1	expert in a deposition?
1 2	hundred dollars so far. Q. Is there a contract between I'm sorry from	2	<b>expert in a deposition?</b> A. That's probably probably 70 or 80 times.
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2 Q. What's the total amount approximately that 2 **Q.** And why was it significant to you? 3 you've been paid as an expert over the course of 3 A. It was sent to me by counsel apparently it 4 your life? 4 was produced by Dr. Shane -- Dr. Frederick, and 5 A. I wouldn't even know where to begin and I 5 beyond that I'm not I'm not otherwise sure why it was shared with me. 6 assume you're using expert there to refer to. 6 **Q.** Litigation expert? 7 Q. Let me direct to you what I believe is 7 8 A. Litigation expert. I -- I would not, I page 5 and in the left column very far down last 8 9 wouldn't even know. 9 sentence, in middle it states we were curious 10 **O.** Would it be more than a million dollars? 10 whether the marginally significant repulsion affect 11 A. It could be. 11 we obtained would replicate so we reran the study 12 Q. What's the total amount approximately that 12 using Google surveys which enable us to obtain very 13 you've been paid as an expert over the past ten 13 large samples quickly did I read that correctly? 14 **vears**? 14 A. You did. 15 15 A. Again I I have not computation of that. Q. And then if you flip to the next page under 16 It's probably several hundred thousand dollars. 16 three B on the column on the left side I guess it's 17 Q. What about over the past five years? 17 the second paragraph under the three B results and 18 A. Again probably probably be it would be 18 discussion, it states the adjusted data replicate 19 probably several hundred thousand dollars. one aspect of the prior study. We found significant 19 20 Q. So over the past five years is several 20 attraction effects when quality was represented 21 hundred thousand dollars and over the past ten years 21 numerically -- and then there's some numbers but no 22 it would necessarily be a greater number? 22 effect when the quality was represented visually. 23 A. It would be a greater number although I did 23 We did not find further evidence of a repulsion 24 less expert witness work for a while and I now effect. Did I read that correctly? 24 25 started doing more so there wouldn't be that much in A. Yes you did. 25 270 272 1 the five to ten year period. 1 Q. Do you understand the authors of this study 2 Q. So going back ten years would four to five 2 to be saying that a portion of their prior work not 3 hundred thousand dollars be a reasonable 3 done on Google surveys was replicated on Google approximation? 4 surveys? 4 5 5 A. Probably a reasonable approximation. A. I do understand that. 6 **O.** Over the past five years what percentage of 6 Q. Do you have any other opinions about this 7 7 your professional time has been spent on litigation article? related activities? 8 8 A. I think they had the good judgment to sight 9 A. Probably 20, maybe 20 percent. 9 my prior work in it. **O.** Over the past five years what percentage of 10 **Q.** Other than that? 10 A. No that's all. 11 11 your income has come from litigation related 12 activities? 12 Q. Let's go to and I may have lost track here 13 A. Again probably be in the vicinity of 25 13 so I apologize. But was I believe if you call back 14 percent. 14 Exhibit 2 which should be the data excuse me the 15 Q. Let's mark an article called limits of 15 screen shots from your original survey. And then 16 attraction as Stewart 12. Provide a copy to 16 Exhibit 7 I think which is summary of our responses everyone. Fish out my own copy. 17 17 so I've got exhibit 7. Let me see if I can find 18 Dr. Stewart have you seen this article 18 those screen shots and let me know when you've 19 before? 19 caught up. I apologize for all the shoveling of the 20 A. I have. 20 paper? 21 21 **Q.** Have you reviewed this article? A. I think I have them both here yes. 22 A. I did read it briefly yes. 22 Q. Okay. Let's I direct you to question five A 23 in Exhibit 2 and I'm not going to read the whole

24

25

Q. Did you read it briefly as part of your 23

1 report but probably 90 to a hundred.

24 activity related to this case or did you read it

25 briefly as part of your academic activities?

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thing but one of the claims that's in the that's

articulated or the claim the primary claim that's

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1

# PUBLIC DOCUMENT 2 1 these claims may have been picked up and transmitted 2

275

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1 articulated to survey respondents is it's in bold I1 these claims may have been picked up and transit2 won't scream it but transform any plastic into2 to end user customers and if that were the case I

14 exposed to these claims.

21 claim like this in the future.

A. Mm-hmm.

3 wanted to see how end user customers would respond.

- 4 Q. If I understood you correct. So attorneys
- 5 told you that end use customers might have seen

8 they simply indicated that some of the claims may9 have been picked up and passed on through some of

10 their customers to end user customers. So what I

12 different but representative claims to see how end

13 user customers would respond if in fact they were

particularly illuminating if in fact no end use

A. It would not be illuminating if no end use

23 Plastic products made with ECM additives. And then

20 consumers saw a claim like this and would not see a

Q. Let's take a look at question five C.

16 it's -- the results of question five A are not

18 consumers saw any claim like this?

Q. You would agree with me would you not, that

11 was trying to do was to simply pick some some

- 6 claims involving one percent loads?
- products biodegradeable while maintaining their 7 A. Well they didn't tell me that specifically,
- $8\;$  other desired characteristics. The potential uses

6 resins renders the finished products, plastic

3 biodegradeable plastic exclamation point dot dot

a one percent load to the most widely used plastic

4 the revolutionary added technology when combined as

- 9 of this technology are only limited by the
- 10 imagination. Did you read that correctly?
- 11 A. You did.

5

7

- 12 Q. And did you draft that paraphrase of ECMs13 claims?
- 14 A. Yes, I did.
- 15 Q. What's one percent load rate mean?
- 16 A. I don't really know it's simply a claim that
- 17 I took from claims that it has been represented to
- 18 me that ECM has used.
- 19 Q. How did you expect consumers to understand20 what one percent load meant?
- 21 A. I didn't actually. I was interested in how
- 22 consumers would respond to what is clearly very

23 technical information.

24 Q. The same could be said about widely used

25 plastic resins do you understand consumers have

274

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19

22

25

24 it goes on.

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Q. Why did you choose this one to -- as one of 1 general understanding as to what plastic res ins 1 2 are? the three that you presented to the survey 2 3 A. Yes again I selected three statements and I 3 respondents in your survey? 4 did so because I thought they represented quite 4 A. Because I felt like it was making multiple 5 different types of claims. This one was selected promises to the recipient and the original claim 5 6 because it's a very in my view a very technical actually had these bulleted and I wanted to I wanted 6 claim the others are not so technical, they are 7 one that was kind of representative of multiple 7 8 fairly straight forward, one one offers a number of promise points to see how people would respond. 8 9 different benefits but I selected them principal 9 Q. Is it your opinion that consumers generally 10 apply because I thought they were they were quite, 10 understand what the word aerobically means? 11 quite different of but also represent, quite 11 A. Actually we we had some respondents who did 12 know what the word meant. Do all consumers? No not 12 different but also representative claims that ECM 13 hazardous waste used or at least it's been 13 at all. 14 represented to me that they used. 14 Q. Could you characterize the percentage of 15 Q. Do you know one way or the other whether any 15 respondents who knew what the word aerobically 16 meant? 16 end use consumer has ever seen marketing material on ECM plastic that referred to a one percent load? 17 17 A. I haven't attempted to do a count of people A. I have no idea one way or the other. who gave a response that suggested that they know 18 18 19 Q. Let's assume that the answer is no and there 19 the meaning of this. I just recall that there were 20 are no such consumers, what would be the purpose of 20 such responses. 21 asking question five A? 21 Q. Aerobic is a technical term strength it? 22 22 A. Because I wanted to understand the effect A. Yes it is. 23 23 that this particular claim would have on the end end **Q.** Would it be fair to characterize the number 24 user customers. In my conversations with the 24 of respondents who appear to upside the word 25 attorneys that there was discussion that some of 25 aerobically as relatively small out of the overall

	277		PUBLIC DOCUMENT 279
1	population of four hundred?	1	A. Well depends on what you want to know. If
2	A. I think that's a fair characterization.	2	we, if we wanted to know consumers response to a
3	Q. Would you say the same thing with respect to	3	claim that's worded in that way obviously if we had
4	the word anaerobically?	4	interested if how people respond to this claim which
5	A. I would I would agree with that as well.	5	is what I was interested in then we need to use this
6	Q. Help me understand what the purpose of	6	language.
7	asking end use consumers who are unlikely to know	7	Q. And explain again why were you interested if
8	what the words anaerobeicly or aerobically mean why	8	
9	is that helpful,?	9	anaerobically or aerobically in land fills?
10	A. Becausewhat we wanted to understand what I	10	A. Well we we actually had some consumers as
11	wanted to understand was you know what people do	11	I've mentioned who seem to understand what these
12	when they see this claim. They may not know what	12	terms were. So to the extent that there are some
13	these things mean people do all sorts of things with	13	consumers, may not be many, at least who had an
14	terms they don't understand and I wanted to have an	14	understanding, that's helpful in understanding the
15	understanding if people were exposed to these claims	15	totality of the meaning that these terms provide in
16	what would they do with them, would it have any	16	the end user population.
17	material effect on on their understanding on their	17	Q. The first phrase fully biodegradeed nine
18	their degree of skepticism, on their sense of	18	months to five years that's an express claim
19	understanding.	19	correct?
20	Q. Would you agree that if no significant	20	MR. AWERBUCH: Objection.
21	number of end use consumers ever saw a claim that	21	THE WITNESS: Yes it is.
22	used the words anaerobically aerobically that the	22	BY MR. COHEN:
23	results with respect to question five C, would not	23	Q. Let's take a look at 5 B, plastic products
24	be particularly illuminating?		manufactured with our additives will biodegrade in
25	A. No I would not agree with that. I mean	25	any biologically active environment including most
	278		280
1	quite illuminating in terms of what people might	1	landfills in some period greater than a year. And
2	interpret this this message to mean. You know they	2	then I direct you to five B in the data set
3	may not understand these specific words but there's	3	obviously toward the back. I do understand
4	still a claim here that is multi-dimensional and it		correctly that when presented with five B24 percent
5	would make sense to to test this. I mean people	5	of the respondents gave answers that were coded as
6	might very well for example, focus in on nine months	6	quote gone slash decomposed slash biodegrade in one
7	to five years when they don't understand the	7	5
8	anaerobic or aerobic terms. They might focus in on	8	A. That's correct.
9	landfills. So I think it's a perfectly reasonable	9	Q. Is there any repair the court can rely on
10	approach to trying to understand how end user	10	
11	consumers who if exposed to this claim might give it	11	A. I think it's a very reliable result based on
12	meaning.	12	the well constructed survey.
13 14	Q. Why not exchange the phrase anaerobe he cannily or aerobically in landfills to simply say in	13 14	Q. The gone slash decomposed slash biodegrade in one year category is the first one listed on the
14		14	
15		15	nogo that's not a trial apostion I just want to make
	most landfills?	15	page that's not a trick question I just want to make
	<ul><li>most landfills?</li><li>A. I could have done that but that was not the</li></ul>	16	sure the next couple questions are clear. That's
17	<ul><li>most landfills?</li><li>A. I could have done that but that was not the language that I saw in the claims.</li></ul>	16 17	sure the next couple questions are clear. That's the first one on the page?
17 18	<ul><li>most landfills?</li><li>A. I could have done that but that was not the language that I saw in the claims.</li><li>Q. Do you know whether the language that I'm</li></ul>	16 17 18	<pre>sure the next couple questions are clear. That's the first one on the page? A. Yes it is.</pre>
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17 18 19 20 21	<ul> <li>most landfills?</li> <li>A. I could have done that but that was not the language that I saw in the claims.</li> <li>Q. Do you know whether the language that I'm suggesting is much closer to what end use consumers actually see?</li> <li>A. No, I don't. I don't know.</li> </ul>	16 17 18 19 20 21	<ul> <li>sure the next couple questions are clear. That's the first one on the page?</li> <li>A. Yes it is.</li> <li>Q. Okay. Well there's a total sample at the top?</li> <li>Q. Yeah not counting the total sample it's the</li> </ul>
17 18 19 20	<ul> <li>most landfills?</li> <li>A. I could have done that but that was not the language that I saw in the claims.</li> <li>Q. Do you know whether the language that I'm suggesting is much closer to what end use consumers actually see?</li> <li>A. No, I don't. I don't know.</li> <li>Q. Assuming that it is much closer to the</li> </ul>	16 17 18 19 20 21 22	<ul> <li>sure the next couple questions are clear. That's the first one on the page?</li> <li>A. Yes it is.</li> <li>Q. Okay. Well there's a total sample at the top?</li> <li>Q. Yeah not counting the total sample it's the first subcategory underneath total sample. Physical</li> </ul>
17 18 19 20 21 22	<ul> <li>most landfills?</li> <li>A. I could have done that but that was not the language that I saw in the claims.</li> <li>Q. Do you know whether the language that I'm suggesting is much closer to what end use consumers actually see?</li> <li>A. No, I don't. I don't know.</li> <li>Q. Assuming that it is much closer to the language that end use consumers actually see, there</li> </ul>	16 17 18 19 20 21	<ul> <li>sure the next couple questions are clear. That's the first one on the page?</li> <li>A. Yes it is.</li> <li>Q. Okay. Well there's a total sample at the top?</li> <li>Q. Yeah not counting the total sample it's the first subcategory underneath total sample. Physical a respondent answered question five B by stating</li> </ul>
17 18 19 20 21 22 23 24	<ul> <li>most landfills?</li> <li>A. I could have done that but that was not the language that I saw in the claims.</li> <li>Q. Do you know whether the language that I'm suggesting is much closer to what end use consumers actually see?</li> <li>A. No, I don't. I don't know.</li> <li>Q. Assuming that it is much closer to the</li> </ul>	16 17 18 19 20 21 22 23 24	<ul> <li>sure the next couple questions are clear. That's the first one on the page?</li> <li>A. Yes it is.</li> <li>Q. Okay. Well there's a total sample at the top?</li> <li>Q. Yeah not counting the total sample it's the first subcategory underneath total sample. Physical</li> </ul>

1	subcategory here correct?	1	more than a year they would fall within that first
2	A. No I don't believe so.	$\begin{vmatrix} 1\\2 \end{vmatrix}$	24 percent. How much further way from a year did
3	Q. Why not?	$\begin{vmatrix} 2\\3 \end{vmatrix}$	they need to be to fall into the second subcategory
4	A. You know, because I think what we have here	$\begin{vmatrix} 3\\4 \end{vmatrix}$	which includes a longer than a year?
5	are people who said it would biodegrade in one year.	5	A. No you're misunderstanding the nature of
6	Q. In what category would someone who answered	6	this coding process. The coding process used the
7			verbal responses that people gave us. In stark
8	in six months have been classified?	8	contrast to what Dr. Frederick did, we did not
9	A. I'm not sure that we had such a response.	9	attempt to interpret and transform responses into
	It's hobble that if we had such a response it could		into numeric values that the individual did not give
11	be in the other category, the other comments that	11	so if somebody said some products will take longer
12		12	they would fall in the category we're talking about.
13	Q. So if I understand then gone slash decompose	13	If they said longer than a year, they would fall
14			into that category. You know I don't have a
15	A. Well they would have said something that		recollection of what all 55 of the responses were
16			but I I doubt that there are very many very
17	like gone decomposed in almost one year or little	17	specific numeric responses that are in here. Could
18			be wrong.
19		19	Q. I'm not suggesting that you're wrong. The
20	-	20	so longer than a year means in effect people who
21	arithmetic transformation what I'm trying to report	21	stated longer than a year without providing further
22		22	detail?
	made.	23	A. That's correct.
24	Q. So withdrawn. One year exactly almost a	24	Q. So if the coders felt comfortable that the
25		25	
	282		284
1	the 24 percent there?	1	little more than a year, that would be someone who
2	A. II believe that's correct employ based on		would fall within the 24 percent whereas if they
3	my recollection of the code.	3	simply stated longer than a year they would fall
4	Q. If a respondent answered five B, by stating	4	within the 14 percent?
5		5	A. Yes I believe that is correct.
6	response would have been coded in the second	6	Q. Let's go back to your report. Page 9 the
7	subcategory which reads some products will take	7	first paragraph next to the last sentence. Denial
8	longer slash longer to biodegrade slash longer than	8	of factual information to consumers that is contrary
9	a year correct?	9	toer ownius briefs does not serve consumer welfare.
10	A. No. What this would suggest to me is that	10	Did I read that correctly?
11	no one gave that that response that what people gave	11	A. Yes you did.
12	are responses that are summarized here, some	12	Q. In what respect if any would adoption of
13	productions will take longer longer to buy, longer	13	complaint counsel's position in this case mean
14		14	denying factual information to consumers that is
15	data like Dr. Frederick did and what these represent	15	contrary to erroneous beliefs?
16	are classifications that summarize the verbal	16	MR. AWERBUCH: Objection.
17	responses that individuals had made. If somebody	17	THE WITNESS: To the extent that there is a
18		18	benefit to a consumer associated with a product that
19	said ten years it would probably have been a	19	differentiates that product from others in the
20	category if and of itself. If only one person says	20	marketplace that product will only exist in the
21	that it probably would have ended up in the other	21	marketplace if the marketer or manufacturer can in
22		22	fact communicate to consumers about that product.
23	Q. Where I'm having a little bit of difficulty	23	You if people, if companies cannot communicate
24		24	advantage says or benefits of a product to the
25	you if someone said almost a year a year a little	25	marketplace, they have no incentive to innovate, no

**(Pages 281 to 284)** 

	285		PUBLIC DOCUMENT 287
1	incentive to develop new and innovative products	1	MR. AWERBUCH: Objection.
	that could genuinely offer real benefits to	2	THE WITNESS: I would I would generally
3	consumers. There's very nice piece that was	3	agree with that with that statement yes if something
4	published if the paper that was published if the	4	is false consumer welfare is not served by by
5	journal of public policy and marketing that looked	5	communicating that false information to the
6	at this issue in the context of nutritional	6	consumer. It's only in in the case where there is
7	information. If I add one of the authors is a staff	7	an identifiable benefit an identifiable point of
8	economist at the FTC but it important that companies	8	sport that can be communicated that consumer welfare
9	have able to community advantages that they have	9	would be served.
10	relate to. Other companies in the marketplace it	10	BY MR. COHEN:
11	we're going to allow invasion to occur if we're	11	Q. So a tremendous amount much your views with
12	going to encourage invasion and you know that	12	respect to what is and is not good policy depends on
13	invasion in turn can contribute to consumer welfare.	13	$\mathbf{J}$
14		14	reviewing authorities views as to whether or not the
15	Q. What is the factual information that you	15	1
	believe the FTC is proposing to deny to consumers?	16	A. Well I would hope that they would not be
17	A. Well if in fact there is a real benefit	17	based on the courts and the commissions views. I
18	associated with biofilm and I'm not I'm not ape		would hope that they would be based on good science.
19	scientist so I can't evaluate that benefit but if		Which would be endorsed by the courts and the
20	there really is a benefit that causes plastic to to	20	
21	biodegrade to break down faster relative to other	21	Q. That's a fair way to put it?
22	alternatives, that's a real benefit. And that's	22	A. Yeah.
	something consumers I think would like to know. And	23	Q. So your view with respect to policy really
	I I and to the extent that the firm that offers		turns on the science?
_25	that product is unable to communicate that, it has	25	A. Yes.
	286		288
1	no incentive to bring that beneficial product to the	1	Q. Do you plan to do any additional work on
2	marketplace.	2	this case before you testify it willy I withdraw do
3	Q. I understand you're not an expert, you're	3	you intend to testify in this case?
4	not a polymer scientist you're not a microbiologist	4	A. I do intend to testify on that case and and

5 you're not a chemist and you have made -- you've

been candid in not attempting to you know put forth 6

7 those opinions. You would agree though if it's the

case or I'll say assume it's the case that ECM 8

9 additive does nothing at all. You're understanding 10 that's the FTCs position. It may not be right

automatic saying but that's the FTCs position. In 11

that case would denial of information regarding the 12

13 ECM additives alleged efficacy serve consumer 14 welfare?

15 A. If in fact the claim of the benefit is not 16 is not factual, and really does do nothing, then

clearly there's no service of consumer welfare 17

associated with communicated that information to 18 19 consumers.

20 Q. So put differently, the policy prescription

21 is that if the product is efficacious, then consumer

22 welfare is served by allowing consumer to learn 23

about the product; however if the product the 24

products the claims made regarding the product are

25 false then consumer welfare is not served?

5 I -- I know of no additional work that I -- I will

do between now and the time I testify. 6

7 Q. Do you intend to testify about anything

8 other than what your report contains?

9 A. As I sit here now no, I do not.

10 Q. Do you intend to offer any opinions other

11 than those your report contains?

A. There certainly will be no new opinions 12

13 there may be elaboration on some of the opinions

14 based on things that I've learned for example

15 reading Dr. Fredericks deposition testimony but I

think I've largely captured my general opinions 16

about that in the report on so to the extent that 17

there are some degree of new opinions that are 18

19 offered they would be based on Dr. Fredericks

20 deposition testimony.

21 A. Well that would, that and I mean I don't

22 know what else I may be I may be asked to testify

23 about I mean to the extent that you know there there

24 is additional information from Dr. Fredericks for

25 example, I might need to address that.

72 (Pages 285 to 288)

289	PUBLIC DOCUMENT291
1 <b>Q.</b> Are your opinions in your report based on	1 number had been already contacted there would be in
2 anything other than your professional expertise and	2 the ballpark of a hundred 50 left to go?
3 the materials produced to complaint counsel?	3 A. Something like that yes.
4 A. No. I believe that they're largely based on	4 Q. And explain again why it was not possible to
5 my professional expertise and the imper cal survey	5 complete a survey of a hundred 50 companies begin
6 research that I've done.	6 the 30 days remaining before your expert report was
7 Q. Are there any fact says not disclosed to	7 due?
8 complaint counsel at this time that are necessary to	8 A. Because as I considered the difficulty of
9 understand the opinions that your report contains?	9 getting these people on the telephone, it it just
10 A. I don't believe so.	10 became clear to me that collecting a larger sample
11 Q. Let's go off the record. It's five 13.	11 in the time available was I mean we could have
12 (Recess)	12 certainly completed more interviews but we could not
13 MR. COHEN: Let's go back on the record and	13 have completed the full set of interviews that I
14 I think we're on 13. I'm going to mark this will	14 would like in the in the time that was available.
15 document as Stewart 13 and provide copies to	15 <b>Q.</b> Why was it necessary to get all the way to a
16 everyone.	16 hundred 58 if order to have completed the
17 Just briefly Dr. Stewart what is this	17 manufacturers pilot study?
18 document.	18 A. Well I'm sorry. I mean this was the pilot
19 A. This would be a report on the progress of	19 study. The the full study as I indicated earlier, I
20 the of manufacturers pilot that we did.	20 would have preferred having at least a 25 percent
21 BY MR. COHEN:	21 response rate. It didn't have to be everybody. But
22 Q. And this report is dated May 20th correct?	22 I I wanted a larger portion of the available
23 A. That's correct.	23 sample in the main survey and these are people who
<ul> <li>24 Q. And that's a month before your expert report</li> </ul>	24 don't make a living sitting in their offices so
25 is due in this case?	25 they're very difficult to track down. You know all
25 is due in this case. 290	
1 A. That's correct.	1 of the we spent 20 hours resolving the 73 here. And
2 Q. And what are the terms on the left side	2 I just made the the judgment that you know I didn't
3 resolved sample and available salve mean?	3 think we were going to be able to complete
4 A. We resolved sample simply means that the	4 sufficient numbers in the time available. He
5 sample, that portion of the sample has been used	5 communicated that to the attorneys and we just
6 either either an interview has been completed the	6 concluded that we wouldn't do any further research.
7 individual was for some reason not qualified, the	7 Q. What is the sufficient number?
8 individual refused to participate but that would be	8 A. Well I would like to have had about 25
9 that would be no further call made to individuals in	9 percent but maybe 50.
10 resolved sample employ. Available sample would be	10 <b>Q. 25 percent of the two hundred?</b>
11 the numbers of people who were still available and	11 A. Yes.
12 kind of active for calling purposes.	12 <b>Q.</b> In order for it to be a successful pilot.
13 Q. Why is the number two hundred or	13 No not a pilot. In order for it to have been a
14 approximately two hundred not anywhere on here?	14 successful main survey. The?
15 A. Two hundred was my my recollection of the	15 Q. Awe. The pilot was a small?
16 number of companies. I I can't tell you I mean	16 Q. I withdraw the question I understand. 25
17 this is this is the number of companies that	17 percent of the two hundred would be what was
18 apparently were on the list.	18 necessary for you to complete basically transform
19 Q. The number of companies apparently on the	19 the pilot into a full scale survey?
20 list according to this appears to be 85?	20 A. That was my my sense yes.
A. No no no it would have been the combination	21 Q. And you did not believe that it would have
22 of the 73 which is resolved.	22 been possible to obtain 50 response does in the
23 Q. I understand so it would be a hundred 58?	23 remaining 30 days?
24 A. That's correct.	A. I based on what we learned in the pilot I
25 Q. Okay. And so not counting whatever small	25 did not think it was going to be possible to
	73 (Pages 289 to 292)
	75 (1 ages 267 to 272)

29	3	PUBLIC DOCUMENT 295
1 complete that complete the analysis, and and	1	000
2 incorporate the full results into my report. That's	2	
3 correct.	3	deposition, and I state there are:
4 Q. How long was the pilot study going on? When	4	
5 did the pilot study commence?	5	NO CORRECTIONS
6 A. I don't have a recollection of exactly when	6	
7 we started. I think it was in late April early may.	7	
8 Q. So at this point it had been going on	8	
9 somewhere between three weeks to maybe longer tha		DAVID STEWART, Ph.D.
10 <b>that?</b>	10	
11 A. That's my recollection.	11	Date Signed
12 Q. And did you evaluate what options might be	12	6
13 available to accelerate the response rate?	13	
14 A. Well, I did, I had a conversation with folks	14	000
15 at California survey research about what we might do	15	
16 to accelerate but again one reason you do pilots is	16	
17 you learn something about the people that you're	17	
18 trying to survey, and these just turned out to be	18	
19 people who were who are difficult to catch in the	19	
20 office.	20	
21 Q. You never talked with Mr. Sin clear about	21	
22 how you might be a better able to catch those people	$\begin{vmatrix} 21\\22 \end{vmatrix}$	
23 in the office did you?	$ _{23}^{}$	
24 A. I did not.	24	
25 MR. COHEN: I pass the witness.	25	
29		296
1 MR. AWERBUCH: Yeah we have no further	1	
	$\begin{vmatrix} 1\\2 \end{vmatrix}$	
<ul><li>2 questions just like to invoke Dr. Stewart's right to</li><li>3 read and sign.</li></ul>	$\begin{vmatrix} 2\\ 3 \end{vmatrix}$	STATE OF CALIFORNIA )
4 MR. COHEN: We'll go off the record.		) ss.
5 (The deposition was concluded at 5:26 p.m.)	4	
6	5	, , , , , , , , , , , , , , , , , , , ,
7	6	I, DAVID STEWART, Ph.D., having appeared for
8	7	
9	8	under penalty of perjury that I have read the
10	9	foregoing deposition, I have made any corrections,
11	10	additions or deletions that I was desirous of making
12	11	in order to render the within transcript true and
12	12	
14	13	,
15	14	5
16	15	
17	16	
18	17	
19	18	
20	19	
21	20 21	WITNESS
22	21	W I I IN E S S
$\frac{22}{23}$	22	7
24	23	$\mathbf{O}\mathbf{D}\mathbf{V}$
	25	
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	297	FUBLIC DUCUWENT
1 2 3 4 5 6 7 8 9 10 11 12 13	REPORTER'S CERTIFICATE I, the undersigned, a Certified Shorthand Reporter of the State of California, do hereby certify; That the foregoing proceedings were taken before me at the time and place herein set forth; that any witnesses in the foregoing proceedings, prior to testifying, were placed under oath; that a	
14 15 16 17	I further certify that I am neither financially interested in the action, nor a relative or employee of any attorney of any of the parties. IN WITNESS WHEREOF, I have this date	
18 19 20		
21 22 23 24	CHRISTINA KIM-CAMPOS	
25	CERTIFICATE NO. 12598	
	Draft	Copy

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# Complaint Counsel Exhibit A Attachment 2



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(Q8C)
Thinking specifically about plastic, is the amount of time it takes for a material to
biodegrade an important consideration in your organization's selection of the plastic
materials and supplies used in production and packaging?
• Yes
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# Complaint Counsel Exhibit A Attachment 3



# caseident Q1 Q1a Q2 Q3 OEQ3

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Q5 Q5A	ი	ი	ი	ი	ი	~	თ	ი	ი	თ
Q4 0EQ4	1 Price (P) Ability to supply at a good price.	1 Quality (P) That's it.	1 I would think it's quality that it complies with FDA (	1 Pricing, quality and on time delivery. (P) Not much	1 Quality (P) Consistency (P) Verification of compor	1 Gotta be food grade and price. (P) No	1 Uhm quality (P) Price (P) and companies standing	1 Price, quality and delivery (P) That's all.	1 Specification of the material (P) Service and pricir	1 Cost, (P) No nothing else, just cost.
	1 Uhm they're our film our products is made into pla 1 Price (P) Ability to supply at a good price.	1 We make plastic bags.	1 We use Pipe Propiline resins to manufacture little	1 We extrude plastic from pellet form to make trash	<ol> <li>It used to manufacture our product.</li> </ol>	1 We make plastic food packaging. (P) No	1 We make plastic packaging for food, medical and	1 We're custom plastic injection company so pretty	1 Uh it is flexible film that we use to make food cont	1 We manufacture plastic bags.
02 02	~	~	~	~	~	~	~	~	~	-
Q1a										
δ	<u>_</u>	<u>_</u>	-	-	-	<u>_</u>	~	<u>_</u>	<u>_</u>	<u>_</u>
aseident Q1 Q1a Q2 Q3 OEQ3	100001	100003	100004	100005	100006	100007	100008	100010	100011	100012

<u>م</u>	
0EQ5A Q6	Well how does it, I guess we would consider biode

CX-A:3 at 2

OEQ6	Q7 Q
Using ASTM 6400 (P) Uhm either that or ASTM D5511. (P) That's all.	2
The ability to make materials to dissolve within a year.	1
Based on what resins specs dictate	1
It's a joke right now. (P) No	1
That the product will completely uh decompose within 1 to 3 years.	1
That's a difficult one, Biodegradability means it has to biodegrade in a landfill. 30% goes to incinerator and 70% to landfills. (P) No	2
Something that would break down according to the ASTM 6400 standards.	2
Classical definition is the breakdown of the chemical components. (P) That's it	1
Uhm material that degrades in the presence of light, air and moisture.	2
Umm, for plastic bags, will break down in a reasonable amount of time in the environment.	1

OEQ8A	Q8B Q8C Q9 Q9A	8C Q	6 0 6 0	4
Greater than 50% within 60 days.	-	0	-	~
			2	
I would say maybe 30% increase (P) 30% increase in decomposition so it decomposes 30% faster than normal material	2		2	
It reduces the time for decomposition. (P) No	7		~	~
1-3 years.	7		2	
			<del>-</del>	~
I cant remember the time but its the time specified in the ASTM 6400 that I mentioned earlier.	-	-	2	
			2	
Over a year it will decompose	-	-	2	
Within a few years.	2		<del>~</del>	<del>.</del>

OEQ9A Q	Q10
Unm it is affected us in a negative way because w	
	~
If the public demands it, we will have to fall in line	~
	~
Well I think guides makes it difficult to make any s	~
	2
	~
	~
They will change the product/additive I use for bag	-

# Complaint Counsel Exhibit A Attachment 4



#### Manufacturers/Distributors

The following companies may be able to assist with your desire to purchase biodegradable plastic products, components or packaging made with ECM BioFilms additives:



Sunday, May 04, 2014

For an updated, expanded or more specific list for your product requirements, please contact ECM BioFilms, Inc., at (440) 350-1400 or biodeg@ecmbiofilms.com Please keep in mind that this information is confidential and is not intended for general publication or dissemination to other parties and the parties of the parti

# Complaint Counsel Exhibit A Attachment 5



#### UNITED STATES OF AMERICA BEFORE THE FEDERAL TRADE COMMISSION

In the Matter of

ECM BioFilms, Inc., a corporation, also d/b/a Enviroplastics International

Docket No. 9358

#### COMPLAINT COUNSEL'S FIRST SET OF REQUESTS FOR PRODUCTION OF DOUMENTS

Pursuant to Rule 3.37 of the Federal Trade Commission's Rules of Practice for Adjudicative Proceedings, Complaint Counsel hereby request that ECM Biofilms, Inc. ("ECM") respond to these Requests within the time prescribed by the Federal Trade Commission's Rules of Practice, and produce the following documents and/or tangible things for inspection and copying at the Federal Trade Commission, 600 Pennsylvania Avenue, NW, M-8102B, Washington, DC 20580, or at such time and place as may be agreed upon by all counsel.

#### **INSTRUCTIONS**

1. These instructions and definitions should be construed to require responses based upon the information available to ECM as well as your attorneys, representatives, investigators, and others acting on your behalf.

2. If you are unable to produce a document or property requested, state in writing why you cannot produce the document or the property and, if your inability to produce the document or the property is because it is not in your possession or the possession of a person from whom you could obtain it, state the name, address, and telephone number of any person you believe may have the original or a copy of any such document or property.

3. If you object to a portion or an aspect of any Request, state the grounds of your objection with specificity and respond to the remainder of the Request.

4. If, in answering these Requests, you encounter any ambiguities when construing a request, instruction, or definition, your response shall set for the matter deemed ambiguous and the construction used in responding.

5. Where a claim of privilege is asserted in responding or objecting to any discovery requested in these Requests and information is not provide on the basis of such assertion, you shall, in your response or objection, identify the nature of the privilege (including work product) which is being claimed. When any privilege is claimed, you shall indicate, as to the information requested, whether (a) any documents exist, or (b) any communications took place, and (c) also provide the following information for each such document in a "privileged documents log" or similar format:

a. the type of document;

b. the general subject matter of the document;

c. the date of the document;

d. the author(s) of the document;

e. the addressee(s) and any other recipient(s) of the document; and

f. the custodian of the document, where applicable.

6. If the requested documents are maintained in a file, the file folder is included in the request for production of those documents.

7. These Requests for Production seek documents not already produced by you pursuant to the FTC's letter requests. To the extent responsive documents have already been produced by you, you should so indicate and include the Bates Number identifying the

documents responsive to that Request. If the document previously produced by you was wholly or partially redacted, please provide an unredacted copy, or the basis for claiming privilege or other protection as described in Instruction No. 5. If the document includes charts or graphs, provide color copies of such documents.

8. Every Request for Production herein shall be deemed a continuing Request for Production, and Respondent is to supplement its answers promptly if and when you obtain responsive documents which add to or are in any way inconsistent with Respondent's initial production.

#### **DEFINITIONS**

Notwithstanding any definition below, each word, term, or phrase used in these Requests is intended to have the broadest meaning permitted under the Federal Trade Commission's Rules of Practice.

1. "All" means and includes "any and all."

2. "Advertisement" means any written or verbal statement, illustration, or depiction that is designed to effect a sale or create interest in the purchasing of goods or services, whether it appears on the Internet, in email, on packaging, in a brochure, newspaper, magazine, pamphlet, leaflet, webinar, circular, mailer, book insert, free standing insert, letter, catalog, poster, chart, billboard, point of purchase material (including, but not limited to, a display or an item worn by salespeople), fact sheet, film, slide, radio, broadcast or cable television, audio program transmitted over a telephone system, program-length commercial, or in any other medium.

3. "And" and "or" shall be construed either disjunctively or conjunctively as necessary to bring within the scope of the request any information that might otherwise be construed to be outside its scope.

4. "Any" means and includes "any and all."

5. "Document" or "documents" are synonymous in meaning and equal in scope to the usage of the terms as defined by 16 C.F.R. 3.34(b), and includes, without limitation, any written material, whether typed, handwritten, printed or otherwise, and whether in draft or final form, of any kind or nature, or any photograph, photostat, microfilm or other reproduction thereof, including, without limitation, each note, memorandum, letter, release, article, report, prospectus, memorandum of any telephone or in-person conversation, any financial statement, analysis, drawing, graph, chart, account, book, notebook, draft, summary, diary, transcript, computer database, computer printout, or other computer-generated matter, contract or order, laboratory report, patent, trademark or copyright, and other data compilations from which information can be obtained. Electronic mail is included within the definition. A draft or nonidentical copy is a separate document.

6. "ECM" shall mean ECM Biofilms, Inc., including without limitation, its agents, employees, officers, or anyone else acting on its behalf.

7. "ECM Additive" means the plastic additive manufactured by ECM, including but not limited to "Masterbatch Pellets."

8. "ECM Plastics" means plastics that contain ECM Additives.

9. "Regarding" means and includes affecting, concerning, constituting, dealing with, describing, embodying, evidencing, identifying, involving, providing a basis for, reflecting, relating to, respecting, stating, or in any manner whatsoever pertaining to that subject.

#### **REQUESTS**

#### Request 1

Provide all documents regarding the efficacy of the ECM Additive in initiating, causing, enabling, promoting, or enhancing the biodegradation of plastics containing the ECM Additive.

#### Request 2

Provide all documents regarding whether or how to market ECM Additives as capable of initiating, promoting, causing, enhancing, or enabling the biodegradation of plastic.

#### Request 3

Provide all documents regarding the duration of time for complete biodegradation of a plastic product containing the ECM Additive.

#### Request 4

Provide all documents regarding whether and how plastics containing ECM Additives will biodegrade in different disposal conditions.

#### Request 5

Provide all documents regarding ASTM D5511 or ASTM D5526.

#### Request 6

Provide all documents regarding any express or implied claims that ECM Additives initiate, cause, enable, promote, or enhance the biodegradation of plastics containing the ECM Additive, and specifically including the following representations:

- a. ECM Plastics will completely break down and decompose into elements found in nature within a reasonably short period of time after customary disposal;
- b. ECM Plastics will completely break down and decompose into elements found in nature within a reasonably short period of time in a landfill;
- c. ECM Plastics will completely break down and decompose into elements found in nature within a nine months to five years in a landfill;
- d. ECM Plastics will completely break down and decompose into elements found in nature within one year in a landfill; and

e. ECM Plastics have been shown to perform as stated in (a) through (d) under various scientific tests including, but not limited to, ASTM D5511.

#### Request 7

Provide all documents that tend to call into question or disprove any express or implied claims that ECM Additives initiate, cause, enable, promote, or enhance the biodegradation of plastics containing the ECM Additive.

#### Request 8

Provide all documents regarding any tests conducted on ECM Additives or plastics containing ECM Additives purporting to show biodegradability of ECM Additives or plastics containing ECM Additives.

#### Request 9

Provide copies of each different ECM advertisement (including those disseminated to or by ECM distributors) that represents, expressly or by implication, that ECM Additives initiate, cause, enable, promote, or enhance biodegradation of plastic.

#### Request 10

Provide copies of any materials relating to any ECM Additive made available to any ECM Additive distributor or customer, including, but not limited to: packaging, clipart, seals, logos, other marketing materials, instructions or suggestions regarding making marketing claims, or instructions for the use or marketing of the ECM Additive.

#### Request 11

Provide all documents, whether prepared by or for ECM or any other entity, including any advertising agency, regarding consumer perception, comprehension, or recall (including, but

not limited to, copy tests, marketing or consumer surveys and reports, penetration tests, recall tests, audience reaction tests, and communication tests) of:

- a. any advertisement, whether disseminated or not, that represents, expressly or by implication, that ECM Additives initiate, promote, or enhance biodegradation of plastic; and/or
- b. biodegradability in general.

#### Request 12

Provide all documents that support or call into question your contention that your customers or distributors are sophisticated purchasers.

#### Request 13

Provide all communications with customers, distributors, potential customers, or potential distributors regarding ECM Additives.

#### Request 14

Provide all documents regarding your strategy for selling the ECM Additive to customers or distributors, including any documents used for verbal sales communications or in preparation for verbal sales communications.

Dated: November 27, 2013

Respectfully submitted,

/<u>s/ Katherine Johnson</u> Katherine Johnson (202) 326-2185 Elisa K. Jillson (202) 326-3001 Division of Enforcement Bureau of Consumer Protection Federal Trade Commission 600 Pennsylvania Avenue, NW Mailstop M-8102B Washington, DC 20580

#### **CERTIFICATE OF SERVICE**

I hereby certify that on November 27, 2013, I caused a true and correct copy of the paper original of the foregoing *Complaint Counsel's First Set of Requests for Production of Documents* to be served as follows:

One electronic copy to Counsel for the Respondent:

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I further certify that I possess a paper copy of the signed original of the foregoing document that is available for review by the parties and the adjudicator.

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