

Nassau County
Maureen OConnell
County Clerk
Mineola, NY 11501



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Ref ID#: EC 16 601067

Instrument Number: 2023- 00037417

As

C33 - ORDER

Recorded On: March 27, 2023

Parties: RUTELLA NICO

TO NATIONAL HOLDINGS CORPORATION

Num Of Pages:

Recorded By: COURT

Comment:

**** Examined and Charged as Follows: ****

C33 - ORDER 0.00

Recording Charge: 0.00

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I hereby certify that the within and foregoing was recorded in the Clerk's Office For: Nassau County, NY

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**County Clerk Maureen O'Connell**

RECEIVED NYSCEF: 03/27/2023
 At an IAS part 4 of the Supreme Court
 Located at 100 Supreme Ct Dr, Mineola NY
 11501. On the 23 day of March 2023

SUPREME COURT OF THE STATE OF NEW YORK
 COUNTY OF NASSAU

NICO RUTELLA, WILLIAM IANNI, DAVID
 O'CONNELL, and JAMES MARKOVICH,
 individually and on behalf of all other persons similarly
 situated who were employed by NATIONAL
 SECURITIES CORPORATION, NATIONAL
 HOLDINGS CORPORATION and/or any other
 entities affiliated with or controlled by NATIONAL
 SECURITIES CORPORATION and/or NATIONAL
 HOLDINGS CORPORATION,

Plaintiffs,

- against -

NATIONAL SECURITIES CORPORATION,
 NATIONAL HOLDINGS CORPORATION and/or
 any other entities affiliated with or controlled by
 NATIONAL SECURITIES CORPORATION and/or
 NATIONAL HOLDINGS CORPORATION,

Defendants.

Index No.: 601067/2016

**CLASS ACTION NOTICE
 PUBLICATION ORDER**

UPON PLAINTIFF'S NOTICE OF MOTION DATED JANUARY 14, 2022 FOR AN ORDER PURSUANT TO
 CPLR 901 AND 902 SEEKING AN ORDER TO CERTIFY THIS ACTION AS CLASS ACTION, AND UPON ORDER OF HONORABLE
 WHEREAS, the Court having read and considered the proposed Notice of Class Action
 DRISCOLL DATED
 MAY 27, 2022,

(attached hereto as Exhibit A); and

WHEREAS, the Court finding that there exist substantial and sufficient grounds for
 entering this Order;

IT IS HEREBY ORDERED that:

1. On or before thirty days (30) days after entry of this Order, Defendants shall furnish
 Class Counsel with a list ("Class List") containing the names, last known address, telephone number
 and email address of all members of the certified "Class" defined as:

All individuals, other than managers, corporate officers, directors, clerical and office workers,
 who performed work for National Securities Corporation and/or National Holdings
 Corporation ("National Securities") for any period of time between February 17, 2010 and
 the present selling or marketing financial products pursuant to contracts entered into with
 National Securities at locations operated in Melville, New York; Huntington, New York; 80
 Broad Street, New York, New York; and 7 Hanover Square, New York, New York, as
 "Registered Representatives" for any given calendar year in which they were paid by National
 Securities less than \$100,000.00 ("Class" and "Class Members").

This mailing list is to be furnished in electronic form and shall be treated by the parties as confidential.

2. On or before sixty (60) days after entry of this Order, the Plaintiffs or their designated class action administration company shall cause a copy of the Notice of Class Action to be mailed to every Class Member on the Class List once by first class mail and a single short text message (transmitted prior to the USPS mailing) containing (a) class counsel and class administrator contact information; (b) a URL link to the electronic Notice, and; (c) the following message alerting recipients that a class has been certified, and to expect the Notice in the mail soon thereafter:

COURT AUTHORIZED NOTICE OF CLASS ACTION LAWSUIT. Virginia & Ambinder LLP and Leeds Brown Law LLC are counsel to a certified class of individuals who sold securities through National Securities Corporation and/or National Holdings Corporation at one or more of four facilities in New York between February 17, 2010 and the present. You are receiving this text because you have been identified as a class member in this lawsuit. You should be receiving in the mail in the next seven days a court-approved notice regarding the lawsuit (an electronic version of the notice can be found at **[URL Link]**). If you have any questions, you can contact us at **[CONTACT INFORMATION]** or the class administrator at **[CONTACT INFORMATION]**.

3. Plaintiffs' counsel shall bear the cost of notice publication.

4. Should a significant number of notices be returned as undeliverable with no forwarding address and should the parties not agree on an efficient means of effectuating additional notice, Plaintiffs reserve the right to apply to the Court for permission to cause a copy of this Notice, substantially in the same form attached hereto, to be published through other means. The class action administration company shall conduct an advanced address search ("skip trace") in the event a Notice is returned without a forwarding address. Defendants shall provide the class administrator with the last four digits of a Class Member's Social Security Number ("SSN") if the individual cannot be located after a skip trace, if an email is returned as undeliverable, and Defendants are able to provide neither a mailing address nor email address on the Class List.

5. The SSN shall be used by the class administration company exclusively to locate addresses, and for no other purpose. Nothing in this Order shall be deemed a waiver of Plaintiffs' continuing right to seek production of class member SSN's or Defendants' right to oppose such a request.

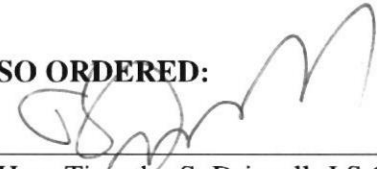
6. On or before sixty (60) days after entry of this Order, Class Counsel shall cause a copy of the Notice to be made available at a designated location on Class Counsel's websites located at www.vandallp.com and www.leedsbrownlaw.com, and it may be published on their social media accounts. Additionally, Plaintiffs or their designated representatives may purchase or publish the notice on a separate website including www.nationalsecuritieslawsuit.com or similar such domains.

7. The Court approves the form of the Notice of Class Action and finds that the publication of such Notice substantially in the manner and form set forth herein will constitute the best notice practicable under the circumstances to members of the Class.

Dated: Mineola, New York

3/23, 2023

SO ORDERED:



Hon. Timothy S. Driscoll, J.S.C.

RG
OK AS
TO FORM

ENTERED

MAR 27 2023

**NASSAU COUNTY
COUNTY CLERK'S OFFICE**