
Table of Contents

PREFACE TO THE FIFTH EDITION.....	v
A NOTE ON SOURCES.....	vii
FEATURES OF THIS CASEBOOK	ix
ACKNOWLEDGMENTS.....	xi
TABLE OF CASES.....	xxvii
 Chapter 1 <i>Introducing Professionalism and Legal Ethics</i> 1	
I. How Do You Become a Lawyer?	3
II. The Legal Definition of Professional Responsibility.....	4
III. This Professional Responsibility Course Is About You.....	8
IV. Professional Responsibility Is About the Legal Profession.....	10
AMERICAN BAR ASSOCIATION COMMISSION ON PROFESSIONALISM, “... IN THE SPIRIT OF PUBLIC SERVICE.” A BLUEPRINT FOR THE REKINDLING OF LAWYER PROFESSIONALISM	12
RUSSELL G. PEARCE, BRIAN DANITZ & ROMELIA S. LEACH, REVITALIZING THE LAWYER-POET: WHAT LAWYERS CAN LEARN FROM ROCK AND ROLL	13
ELI WALD AND RUSSELL G. PEARCE, BEING GOOD LAWYERS: A RELATIONAL APPROACH TO LAW PRACTICE	14
RUSSELL G. PEARCE, ELI WALD, AND SWETHAA S. BALLAKRISHNEN, DIFFER- ENCE BLINDNESS VS. BIAS AWARENESS: WHY LAW FIRMS WITH THE BEST OF INTENTIONS HAVE FAILED TO CREATE DIVERSE PARTNERSHIPS.....	16
V. Can Professional Responsibility Be Taught?	19
RUSSELL G. PEARCE, TEACHING ETHICS SERIOUSLY: LEGAL ETHICS AS THE MOST IMPORTANT SUBJECT IN LAW SCHOOL	19
 Chapter 2 <i>The Basic Elements of Law Practice</i> 25	
I. Introduction.....	27
II. Defining the Practice of Law	29
A. The Prohibition.....	29
B. Limits on Nonlawyers Providing Low Cost Legal Assistance	30
<i>Florida Bar v. Brumbaugh</i>	31

1.	Debates Regarding Unauthorized Practice Restrictions.....	35
2.	Legal Advice Books	36
3.	Legal Software	38
	<i>LegalZoom.com, Inc. v. N.C. State Bar</i>	41
C.	Lawyers Working with Nonlawyers.....	46
1.	Lawyers Working with Nonlawyers to Deliver Legal Services....	50
2.	Ancillary Businesses.....	53
D.	Unauthorized Practice of Law by Lawyers.....	56
	<i>Birbrower, Montalbano, Condon & Frank, P.C. v. Superior Court</i>	56
III.	Creating the Lawyer-Client Relationship	71
A.	General Principles	71
	<i>Morris v. Margulis</i>	72
	<i>In re Robbins</i>	76
B.	Exceptions to the General Rule: The Duty to Accept Particular Cases.....	81
	<i>Cunningham v. Sommerville</i>	82
C.	The Duty to Reject Certain Cases	86
D.	Other Issues Related to the Establishment of the Lawyer-Client Relationship	91
IV.	Ending the Lawyer-Client Relationship.....	94
	<i>Whiting v. Lacara</i>	97
V.	Competence	101
A.	Discipline.....	104
B.	Malpractice Liability	109
	<i>Lerner v. Laufer</i>	116
C.	Ineffective Assistance of Counsel	122
VI.	Principles That Govern the Relationship Between Lawyers and Clients	126
A.	Allocating Decision-Making Between Lawyer and Client	126
	<i>Jones v. Barnes</i>	127
	<i>Boyd v. Brett-Major</i>	134
	MARCY STRAUSS, TOWARD A REVISED MODEL OF ATTORNEY-CLIENT RELATIONSHIP: THE ARGUMENT FOR AUTONOMY	137
	<i>McCoy v. Louisiana</i>	139
B.	Other Principles That Set the Parameters of the Lawyer-Client Relationship	142
	<i>People v. Chappell</i>	144
Chapter 3	<i>The Business, Technology, and Marketing of Legal Services</i>	153
I.	Introduction.....	154
II.	Finding Clients	155
A.	An Overview of Marketing Legal Services.....	155

LARRY BODINE, WRITING YOUR PERSONAL MARKETING PLAN	155
STEPHANIE KIMBRO, VIRTUAL LAW PRACTICE: HOW TO DELIVER LEGAL SERVICES ONLINE.....	156
SILVIA HODGES, I DIDN'T GO TO LAW SCHOOL TO BECOME A SALESPERSON—THE DEVELOPMENT OF MARKETING IN LAW FIRMS	157
GEOFFREY C. HAZARD, JR., RUSSELL G. PEARCE & JEFFREY W. STEMPEL, WHY LAWYERS SHOULD BE ALLOWED TO ADVERTISE: A MARKET ANALYSIS OF LEGAL SERVICES.....	160
JIM HAWKINS & RENEE KNAKE, THE BEHAVIORAL ECONOMICS OF LAWYER ADVERTISING: AN EMPIRICAL ASSESSMENT	160
RENEE NEWMAN KNAKE, WHY LAW STUDENTS SHOULD BE THINKING ABOUT ENTREPRENEURSHIP AND INNOVATION IN LEGAL SERVICES	166
RENEE KNAKE, HOW BIG DATA ANALYTICS IS CHANGING LEGAL ETHICS	168
KATHRYN RUBINO, WHAT BIGLAW IS SAYING ABOUT THE UNREST SWEEPING THE NATION	170
B. Solicitation.....	172
<i>Ohrlik v. Ohio State Bar Association</i>	174
<i>In re Primus</i>	181
C. Advertising.....	190
<i>Matter of Zang</i>	193
III. Fees and Billing	203
A. The Hourly Billing Controversy	205
WILLIAM G. ROSS, THE ETHICS OF HOURLY BILLING BY ATTORNEYS.....	206
DOUGLAS R. RICHMOND, IN DEFENSE OF THE BILLABLE HOUR	208
JONATHAN D. GLATER, BILLABLE HOURS GIVING GROUND AT LAW FIRMS	209
B. The Controversy Regarding Contingent Fees and Other Issues Related to Fees and Fiduciary Duties	210
JEFFREY D. SWETT, COMMENT, DETERMINING A REASONABLE PERCENTAGE IN ESTABLISHING A CONTINGENCY FEE: A NEW TOOL TO REMEDY AN OLD PROBLEM.....	213
THERESE MAYNARD, ETHICS FOR BUSINESS LAWYERS REPRESENTING START-UP COMPANIES.....	219
JOHN S. DZIENKOWSKI & ROBERT J. PERONI, THE DECLINE IN LAWYER INDEPENDENCE: LAWYER EQUITY INVESTMENTS IN CLIENTS	220
W. BRADLEY WENDEL, ARE THERE ETHICAL PITFALLS IN THE USE OF THIRD-PARTY LITIGATION FINANCING?	221

C.	Court-Awarded Attorneys' Fees	228
	ASHLEY E. COMPTON, NOTE, SHIFTING THE BLAME: THE DILEMMA OF FEE-SHIFTING STATUTES AND FEE-WAIVER SETTLEMENTS.....	229
	MICHAEL WATERSTONE, A NEW VISION OF PUBLIC ENFORCEMENT.....	230
	<i>Perdue v. Kenny A. ex rel. Winn.....</i>	232
	<i>Evans v. Jeff D.</i>	239
Chapter 4 Attorney-Client Privilege, Work-Product Protection, and the Lawyer's Duty of Confidentiality 245		
I.	Introduction.....	247
II.	The Relationship Among the Attorney-Client Privilege, the Work-Product Protection, and the Duty of Confidentiality	248
III.	Basics of the Attorney-Client Privilege.....	252
A.	Rationale for the Attorney-Client Privilege	252
B.	Criteria for Attorney-Client Privilege.....	253
	LAWYER-CLIENT PRIVILEGE (DRAFT, MARCH 1, 2010)	255
1.	Client Must Be Seeking Legal Advice	256
	<i>In re County of Erie</i>	257
2.	The Communications Requirement.....	263
3.	Communication Between Client and Lawyer	264
	<i>Upjohn Co. v. United States</i>	264
	<i>In re Grand Jury Subpoena: Under Seal</i>	270
	<i>In re New York Renu with Moistureloc Product Liability Litigation</i>	277
4.	Expectation of Confidentiality.....	281
C.	Waiver of Attorney-Client Privilege	285
1.	Introduction.....	285
2.	Authority to Waive the Privilege.....	285
3.	"Selective" Waiver.....	286
4.	Mistaken Disclosures.....	288
	FEDERAL RULE OF EVIDENCE 502.....	290
5.	Duties of an Attorney Receiving Privileged Information.....	295
	<i>In re Nitla S.A. de C.V.....</i>	296
D.	The Crime-Fraud Exception to the Attorney-Client Privilege	299
IV.	The Basics of the Work-Product Protection	302
A.	Rationale for the Work-Product Protection.....	302
B.	Criteria for the Work-Product Protection	302
C.	Codification of the Work-Product Protection	303
	<i>Upjohn Co. v. United States</i>	304
	<i>Marten v. Yellow Freight System, Inc.</i>	306

D.	Waiver of the Work-Product Protection	309
E.	Crime-Fraud Exception to Work-Product Protection.....	310
V.	The Basics of the Duty of Confidentiality Under Rule 1.6.....	310
A.	Individuals to Whom a Duty of Confidentiality Is Owed	311
B.	Scope of Information Within the Duty of Confidentiality	313
1.	General Obligations with Respect to Rule 1.6 Information	313
2.	The Duty of Confidentiality Applies to Information Related to the Representation.....	315
	<i>People v. Belge</i>	316
C.	Exceptions to the Duty of Confidentiality	318
1.	To Prevent Death or Serious Bodily Harm	319
2.	To Protect Victims When the Client Has Misused the Lawyer's Services	326
	<i>Maryland State Bar Association, Inc. Committee on Ethics</i>	329
3.	Lawyer Self-Protection	332
4.	Other Exceptions to Rule 1.6.....	334
Chapter 5	Conflicts of Interest	337
I.	Introduction.....	339
II.	Simultaneous Representations of Multiple Clients.....	339
A.	Is There a Current Attorney-Client Relationship?	340
	<i>Rohm and Haas Co. v. Dow Chemical Co.</i>	340
B.	Simultaneous Representation Standards.....	342
1.	“Directly Adverse” Under Rule 1.7(a)(1)	343
2.	“Materially Limited” Under Rule 1.7(a)(2).....	347
3.	“Reasonably Believes” and “Competent and Diligent Representation” Under Rule 1.7(b)(1).....	348
	<i>Sanford v. Commonwealth of Virginia</i>	350
4.	“Not Prohibited by Law” Under Rule 1.7(b)(2).....	356
5.	“Assertion of a Claim by One Client Against Another” Under Rule 1.7(b)(3)	356
6.	“Informed Consent, Confirmed in Writing” Under Rule 1.7(b)(4)	356
7.	Waiving Future Conflicts Under Rule 1.7(b).....	359
	<i>Sheppard, Mullin, Richter & Hampton, LLP v. J-M Manufacturing Co.</i>	361
C.	Additional Applications of Rule 1.7.....	366
1.	Positional Conflicts	366
2.	Aggregate Settlements.....	368
III.	Conflicts Between Client’s Interests and Personal or Financial Interests of the Lawyer.....	369
A.	Transactions Between Lawyer and Client.....	369
B.	Literary and Media Rights Issues	371
	<i>Beets v. Collins</i>	372

C.	Client-Lawyer Sexual Relationships.....	374
IV.	Lawyer Advocate as Witness	375
V.	Representation Adverse to a Former Client.....	377
A.	The General Rules.....	377
	<i>Paul v. Judicial Watch, Inc.</i>	380
B.	Former and Current Government Lawyers	385
	<i>Babineaux v. Foster</i>	389
VI.	Lawyers as Third-Party Neutrals	393
VII.	Vicarious Disqualification Under Rule 1.10: Disqualification of an Entire Firm Because of a Tainted Lawyer	396
	<i>North Carolina State Bar</i>	400
VIII.	Conflicts of Interest in Criminal Cases: A Brief Overview.....	404

Chapter 6 *The Lawyer's Duties to the Legal System and Nonclients*..... 409

I.	Duties to the Court and Other Tribunals	413
A.	Meritorious Claims and Contentions	413
B.	Law, Evidence, and False Testimony	415
C.	Arguments.....	428
1.	Basic Rule	428
2.	Racialized Arguments	430
D.	Witnesses	431
1.	Access to Witnesses	432
2.	Witness Preparation	433
	3. Witness Compensation	435
E.	Communications with Judges and Jurors.....	437
F.	Jury Selection	439
G.	Non-Adjudicative Proceeding.....	441
H.	Stating or Implying Improper Influence	442
I.	Trial Publicity.....	443
	<i>United States v. Silver</i>	447
	<i>United States v. Cutler</i>	454
J.	Criticism of Judges	461
	<i>Standing Committee on Discipline v. Yagman</i>	463
K.	Decorum, Civility, and Obedience to Court Orders	471
1.	Courtroom Decorum	471
	<i>State v. Jones</i>	472
2.	Civility in Depositions	475
II.	Duties to Opposing Parties and Third Parties	477
A.	Truthfulness	477
B.	Inadvertent Disclosures	480
C.	Communications with a Represented Party	482

D.	Unrepresented Persons.....	484
III.	Duties Regarding the Law and the Legal Profession	486
A.	Obedience to Law	486
1.	Crimes or Frauds.....	487
2.	Organizational Misconduct	490
	<i>Hays v. Page Perry, LLC</i>	494
3.	The Sarbanes-Oxley Act of 2002	497
	SARBANES-OXLEY REGULATIONS: A SUMMARY	498
4.	Senior and Subordinate Lawyers.....	500
5.	Threats of Criminal Process	501
B.	Restrictions on Practice	504
C.	Reporting Lawyer and Judge Misconduct	504
	IN RE HIMMEL, 533 N.E.2d 790 (ILL. 1988): A SUMMARY	506

Chapter 7 Special Ethical Rules: Prosecutors and Judges..... 509

I.	Prosecutors.....	510
A.	The Decision to Charge	516
	<i>State ex rel. McKittrick v. Wallach</i>	518
	<i>Pugach v. Klein</i>	519
1.	Refusing to Prosecute a Certain Type of Crime.....	522
2.	Suspected of Serious Crime, Charged with a Less Serious Crime.....	523
3.	Racial Justice and Prosecutorial Discretion	524
B.	Factors Bearing on Prosecutor's Discretion to Charge	526
	<i>Excerpt from motion: People v. Strauss-Kahn</i>	526
C.	Respecting the Right to Counsel.....	530
D.	Plea Bargaining	534
	<i>Bordenkircher v. Hayes</i>	535
1.	Inverted Sentencing.....	539
2.	Package Deals.....	540
E.	Discovery	541
1.	Constitutional Obligation	542
	<i>United States v. Agurs</i>	543
2.	Brady and Guilty Pleas: <i>United States v. Ruiz</i>	549
3.	Rule-Based Requirements.....	550
	<i>Matter of Larsen</i>	552
F.	Post-Conviction Evidence of Innocence.....	555
	NEW YORK CITY BAR, COMMITTEE ON PROFESSIONAL ETHICS.....	557
II.	Ethical Standards for Judges	561
A.	Introduction.....	561
B.	Performing the Duties of the Judicial Office	564
C.	Judicial Disqualification	568
	<i>Caperton v. A.T. Massey Coal Co., Inc.</i>	571

	<i>Williams v. Pennsylvania</i>	579
	<i>Cheney v. United States District Court for the District of Columbia</i>	583
D.	Judges' Extrajudicial Activities	587
E.	Seeking Judicial Election	590
	<i>Williams v. Florida Bar</i>	590
F.	Moving from Judging (or Arbitrating) to Private Practice	595
G.	Judges and Racial Justice.....	598
Chapter 8 What Is the Proper Role of a Lawyer?..... 601		
I.	Introduction	602
II.	The Dominant Conception of the Neutral Partisan in Historical and Philosophical Context	603
	DAVID LUBAN, LAWYERS AND JUSTICE: AN ETHICAL STUDY (1988)	603
	MONROE H. FREEDMAN & ABBE SMITH, IN UNDERSTANDING LAWYERS' ETHICS 13, 15–16, 52–53, 62–63 (5TH ED. 2016)	603
	CHRISTINA JOHN, RUSSEL PEARCE, ANDRAY JERAMINE ARCHER, SARAH MEDINA CAMISCOLI, ARON PINES, MARYAM SALMANOVA, AND VIRA TARNAVSKA, SUBVERSIVE LEGAL EDUCATION, REFORMIST STEPS TOWARDS ABOLITIONIST VISIONS	604
	RUSSELL G. PEARCE, THE LEGAL PROFESSION AS A BLUE STATE: REFLECTIONS ON PUBLIC PHILOSOPHY, JURISPRUDENCE, AND LEGAL ETHICS	606
III.	Competing Visions of Professional Morality.....	612
A.	Moral Responsibility	612
	WILLIAM H. SIMON, ETHICAL DISCRETION IN LAWYERING	614
	EDUARDO CAPULONG, CLIENT ACTIVISM IN PROGRESSIVE LAWYERING THEORY.....	617
	GERALD P. LÓPEZ, LIVING AND LAWYERING REBELLIOUSLY	618
	LENORE CARPENTER, GETTING QUEER PRIORITIES STRAIGHT: HOW DIRECT LEGAL SERVICES CAN DEMOCRATIZE ISSUE PRIORITIZATION IN THE LGBT RIGHTS MOVEMENT	620
B.	Personal Identities, Intersectional Ideologies and Lawyer Roles.....	627
	DAVID B. WILKINS, IDENTITIES AND ROLES: RACE,recognition, AND PROFESSIONAL RESPONSIBILITY.....	627
	BILL ONG HING, THE GREAT OPPORTUNITY IN LAW	637
	CARRIE MENKEL-MEADOW, PORTIA IN A DIFFERENT VOICE: SPECULATIONS ON A WOMEN'S LAWYERING PROCESS	639
	TSEDALE M. MELAKU, THE AWAKENING: THE IMPACT OF COVID-19, RACIAL UPHEAVAL, AND POLITICAL POLARIZATION ON BLACK WOMEN LAWYERS	642
	EZRA GRAHAM LINTNER, TO EACH THEIR OWN: USING NONBINARY PRONOUNS TO BREAK SILENCE IN THE LEGAL FIELD	645

RUSSELL G. PEARCE & AMELIA J. UELMEN, RELIGIOUS LAWYERING IN A LIBERAL DEMOCRACY: A CHALLENGE AND AN INVITATION	646
C. Interconnected Professional Roles: Lawyers (Also) as Movement Actors, Citizens, Teachers	651
BRUCE A. GREEN & RUSSELL G. PEARCE, "PUBLIC SERVICE MUST BEGIN AT HOME": THE LAWYER AS CIVICS TEACHER IN EVERYDAY PRACTICE	653
SUSAN D. CARLE & SCOTT L. CUMMINGS, A REFLECTION ON THE ETHICS OF MOVEMENT LAWYERING.....	658
AMNA A. AKBAR, SAMEER M. ASHAR & JOCELYN SIMONSON, MOVEMENT LAW.....	660
Chapter 9 <i>The Special Privileges and Responsibilities of Lawyers</i>	663
I. The Professional Privilege.....	665
A. Review of Professionalism & Unauthorized Practice	665
B. Do the Standards for Bar Admission and Discipline Guarantee That Lawyers Meet the Standards Necessary to Justify Unauthorized Practice of Law Prohibitions?	666
1. Can Consumers Rely on Lawyers to Be Competent?	666
POSTING OF MONROE H. FREEDMAN, ON TEACHING AND TESTING IN LAW SCHOOL, TO LEGAL ETHICS FORUM: THE PURPOSE OF LAW SCHOOL CLASSES?.....	668
SOCIETY OF AMERICAN LAW TEACHERS STATEMENT ON THE BAR EXAM.....	669
SUZANNE DARROW-KLEINHAUS, RESPONSE TO THE SOCIETY OF AMERICAN LAW TEACHERS STATEMENT ON THE BAR EXAM.....	674
VIJAY SEKHON, OVER-EDUCATION OF AMERICAN LAWYERS: AN ECONOMIC AND ETHICAL ANALYSIS OF THE REQUIREMENTS FOR PRACTICING LAW IN THE UNITED STATES	679
BENNETT CAPERS, THE LAW SCHOOL AS A WHITE SPACE	682
2. Can Consumers Rely on Lawyers to Be Ethical?	687
DEBORAH L. RHODE, MORAL CHARACTER AS A PROFESSIONAL CREDENTIAL	690
DECISION OF INQUIRY OF THE COMMITTEE ON CHARACTER AND FITNESS OF THE SUPREME COURT OF ILLINOIS FOR THE THIRD APPELLATE DISTRICT * * * IN THE MATTER OF: THE APPLICATION FOR ADMISSION TO THE BAR OF MATTHEW F. HALE	694

RICHARD L. SLOANE, NOTE, BARBARIAN AT THE GATES: REVISITING THE CASE OF MATTHEW F. HALE TO REAFFIRM THAT CHARACTER AND FITNESS EVALUATIONS APPROPRIATELY PRECLUDE RACISTS FROM THE PRACTICE OF LAW	700
C. Who Should Be Permitted to Provide Legal Services?.....	701
1. Nonlawyer Practice.....	702
JOHN S. DZIENKOWSKI & ROBERT J. PERONI, MULTIDISCIPLINARY PRACTICE AND THE AMERICAN LEGAL PROFESSION: A MARKET APPROACH TO REGULATING THE DELIVERY OF LEGAL SERVICES IN THE TWENTY-FIRST CENTURY	705
RENEE KNAKE JEFFERSON, LAWYER ETHICS FOR INNOVATION	709
ANDREW M. PERLMAN, TOWARDS THE LAW OF LEGAL SERVICES	711
LAUREL TERRY, STEVE MARK & TAHLIA GORDON, ADOPTING REGULATORY OBJECTIVES FOR THE LEGAL PROFESSION....	712
II. Special Responsibilities.....	713
A. Pro Bono.....	713
DEBORAH L. RHODE, CULTURES OF COMMITMENT: PRO BONO FOR LAWYERS AND LAW STUDENTS.....	714
B. Should the Rules Mandate Equal Opportunity?.....	722
AKSHAT TEWARY, LEGAL ETHICS AS A MEANS TO ADDRESS THE PROBLEM OF ELITE LAW FIRM NON-DIVERSITY	723
C. Understanding Implicit Bias.....	729
RENWEI CHUNG, IMPLICIT BIAS: THE SILENT KILLER OF DIVERSITY IN THE LEGAL PROFESSION, ABOVE THE LAW	729
D. The Concept of Behavioral Legal Ethics	731
JEAN R. STERNLIGHT AND JENNIFER K. ROBBENOLT, BEHAVIORAL LEGAL ETHICS.....	731
E. Mental Health and the Legal Profession.....	735
JAMES C. GALLAGHER, DRUGS, ALCOHOL, MENTAL HEALTH, AND THE VERMONT LAWYER	735
NEIL GRAFFIN, EMMA JONES, MATHIJS LUCASSEN AND RAJVINDER SAMRA, THE LEGAL PROFESSION HAS A MENTAL HEALTH PROBLEM—WHICH IS AN ISSUE FOR EVERYONE.....	735
F. What Does It Mean to Be a Lawyer?	737
INDEX.....	739