

TABLE OF CONTENTS

PREFACE	V
ACKNOWLEDGMENTS	VII
TABLE OF CASES	XXV
TABLE OF STATUTES	XXXI
TABLE OF RULES.....	XXXIII

PART 1. ENTERING THE PROFESSION

Chapter 1. Introduction: A Lawyer’s Professional Responsibilities....	3
A. Fiduciary Duty to Clients	4
B. Professional Conduct Rules	5
C. Developing a Professional Identity	7
1. Lawyers as Public Citizens	7
2. Lawyers as Leaders.....	8
3. Lawyers as Caregivers	9
4. Lawyers as Fallible Human Beings (and the Study of Behavioral Legal Ethics)	9
Chapter 2. Admission to the Bar.....	13
A. Overview of Bar Admission Standards	14
B. The Character and Fitness Standard	16
In the Matter of the Bar Application of Tarra Denelle Simmons	16
1. Criminal History.....	30
2. Financial Responsibility.....	30
3. Mental Health.....	31
4. Substance Abuse.....	32
5. Candor.....	32
Chapter 3. Regulation of the Legal Profession	35
A. Professional Discipline	35
B. Misconduct.....	37
1. Attempting to Violate a Rule, Knowingly Assisting Another, or Using Another to Violate a Rule.....	38
2. Committing a Criminal Act That Reflects Adversely on a Lawyer’s Honesty, Trustworthiness, or Fitness as a Lawyer	38
3. Engaging in Dishonest Conduct	39
4. Engaging in Conduct Prejudicial to the Administration of Justice	40
5. Engaging in Harassing or Discriminatory Conduct.....	41
C. Reporting Professional Misconduct.....	42
1. Knowledge.....	42

2.	Substantial Question as to the Other Lawyer’s Honesty, Trustworthiness, or Fitness	42
3.	Informing the Appropriate Authority	43
In re James H. Himmel.....	44	
In re Riehlmann.....	48	
D.	Imposing Disciplinary Sanctions.....	52
In re James H. Himmel.....	52	
In re Riehlmann	54	
E.	Other Consequences of Attorney Misconduct.....	55
Chapter 4. The Authorized and Unauthorized Practice of Law		57
A.	Preventing the Unauthorized Practice of Law (UPL).....	57
1.	Preventing UPL by Non-Lawyers.....	57
Florida Bar v. Brumbaugh.....	59	
2.	Assisting Others in the Unauthorized Practice of Law	63
3.	Permitting the Limited Practice of Law by Non-Lawyers	64
B.	Multijurisdictional Practice (MJP).....	64
1.	Licensure in Multiple Jurisdictions	64
2.	Special Rules Allowing an Attorney to Establish an Office in a State Where the Attorney Is Not Licensed	65
C.	Temporary Practice of Law in a State Where an Attorney Is Licensed	66
1.	<i>Pro Hac Vice</i> Admission	66
2.	When Temporary Practice Amounts to the Unauthorized Practice of Law	67
Birbrower, Montalbano, Condon & Frank, P.C. v. Superior Court.....	67	
D.	The Multi-State Practitioner, Disciplinary Authority, and Choice of Law.....	74
Chapter 5. Providing Access to Justice Through Pro Bono and Other Service		77
A.	Law Student Pro Bono Service	78
1.	Promoting Law Student Pro Bono Service	78
2.	Pro Bono Bar Admission Requirement	79
N.Y. Ct. Rules, § 520.16 Pro Bono Requirement for Bar Admission.....	79	
B.	Attorney Pro Bono Service.....	81
C.	Conflicts of Interest and a Lawyer’s Pro Bono Limited Scope Representations and Other Volunteer Activities	83
D.	Court Appointments.....	83
Hagopian v. Justice Administrative Commission	84	
E.	Relying on Non-Lawyers and Improved Technology to Reduce the Access to Justice Gap	90
1.	Relying on Non-Lawyers.....	91
a.	Court Navigators	91

b. Limited License Legal Technicians (LLLTs) and Legal Paraprofessionals (LPs)..... 92

c. Non-Lawyer Ownership of Law Firms 93

2. Technological Innovation 94

N.C. General Statutes § 84–2.2. Exemption and Additional Requirements for Web Site Providers 94

Benjamin H. Barton & Deborah L. Rhode, *Access to Justice and Routine Legal Services: New Technologies Meet Bar Regulators* 95

PART 2. ATTRACTING CLIENTS

Chapter 6. Practicing in a Law Firm..... 103

A. Practicing Law as a Member of a Law Firm 103

1. The Organizational Structure of Law Firms 104

2. The Ethical Obligations of Partners, Managers, and Supervisory Lawyers 104

a. Rule 5.1(a): Firm Lawyers with Managerial Authority 104

In re Dickens 105

b. Rule 5.1(b): Firm Lawyers with Supervisory Authority 109

c. Rule 5.1(c): Responsibility for Another Lawyer’s Violation of the Rules..... 109

d. Rule 5.3: Responsibilities Regarding Non-Lawyer Assistants 110

3. The Ethical Obligations of “Subordinate” Lawyers..... 110

Kentucky Bar Ass’n v. Helmers..... 111

B. Discrimination, Diversity, and Inclusion in Law Firms 113

1. Discrimination in Legal Practice 114

2. Diversity and Inclusion Efforts in the Legal Profession 116

C. Leaving the Firm 117

1. Soliciting Clients 117

Tolson Firm, LLC v. Sistrunk..... 117

2. Non-Compete Agreements 122

Chapter 7. Advertising 125

A. The Constitutional Landscape 125

Dwyer v. Cappell 126

B. The Regulatory Landscape 136

1. In General 136

2. Online Marketing 137

Hunter v. Virginia State Bar ex rel. Third District Committee 137

3. Advertising Limited and Specialized Practices 143

4. Law Firm Names 144

5. Client Referrals 144

a. Referrals in General 144

b. Legal Services Plans and Lawyer Referral Services 145

c. Reciprocal Referral Agreements 145

Chapter 8. Solicitation	147
A. Live Person-to-Person Contact	148
Ohralik v. Ohio State Bar Association	148
In re Primus	155
B. Other Restrictions on Lawyer Solicitation	162
Florida Bar v. Went for It, Inc.	162

PART 3. THE CLIENT-LAWYER RELATIONSHIP

SECTION 1. ESTABLISHING THE CLIENT-LAWYER RELATIONSHIP.....	177
--	------------

Chapter 9. Establishing a Client-Lawyer Relationship	179
---	------------

A. Entering into a Client-Lawyer Relationship	179
1. Agreeing to Represent Another	180
2. Duties to Prospective Clients.....	180
Togstad v. Vesely, Otto, Miller & Keefe.....	181
B. Defining the Scope of Representation	185
1. In General	185
2. Limiting the Scope of Representation	186
Nichols v. Keller	186
C. Declining to Take a Case	193

Chapter 10. Billing the Client.....	197
--	------------

A. Setting the Fee	197
B. Reasonableness of Fees and Other Charges.....	198
1. Charging an Unreasonable Fee	198
In re Green.....	198
Heavener v. Meyers.....	201
In re Sulzer Hip Prosthesis and Knee Prosthesis Liability Litigation.....	203
2. Potential Consequences of Charging an Unreasonable Fee	207
C. Other Prohibited Fee Arrangements	207
1. Prohibited Contingent Fees	207
2. “Non-Refundable” General Retainers or Fees Paid in Advance	208
In re Disciplinary Action Against Hoffman	209
D. Sharing Fees with Other Lawyers	212

Chapter 11. Preventing Billing Fraud and Safekeeping Client

Funds and Property	215
A. Billing Fraud	215
1. Pressure (and Incentives) to Overbill.....	216
2. Challenge of Accurate Time Tracking.....	217
3. Situational Factors That Contribute to Billing Fraud.....	218
4. Attorney Rationalizations for Overbilling	220
In re Wallace.....	221
B. Trust Accounts and Other Requirements of Safekeeping Client Property	225

SECTION 2. COMMUNICATION AND DECISION-MAKING	229
Chapter 12. Communication and Decision-Making	231
A. An Overview of Communication and Decision-Making in an Agency Relationship	232
1. Communication	232
2. Allocation of Decision-Making Authority	233
Olfe v. Gordon	235
3. When Attorney and Client Disagree About a Decision	238
B. A Lawyer's Power to Obligate the Client in Dealings with Others	239
C. Identifying the Duly Authorized Constituents of an Organizational Client	241
D. Representing Clients with Disabilities, Diminished Capacity, or Communication Barriers	242
1. In General	242
2. Communication Barriers	244
SECTION 3. COMPETENCE AND DILIGENCE.....	249
Chapter 13. Competent and Diligent Representation of a Client	251
A. Rules of Professional Conduct	251
1. Competence	251
2. Diligence	252
B. Civil Liability for Malpractice	253
1. Duty and Breach	253
Rizzo v. Haines	253
Wood v. McGrath, North, Mullin & Kratz, P.C.	257
Simko v. Blake	261
2. Causation and Damages	269
Rizzo v. Haines	269
C. Malpractice Insurance	270
1. Mandatory Professional Liability Insurance	270
2. Filing Claims and Notifying Clients	271
SECTION 4. CONFIDENTIALITY.....	273
Chapter 14. Duty of Confidentiality.....	275
A. Protecting Confidential Information	275
Perez v. Kirk & Carrigan	277
B. Exceptions to the Lawyer's Duty of Confidentiality	281
1. Disclosure Reasonably Necessary to Prevent Death or Substantial Bodily Harm	281
2. Disclosure Reasonably Necessary to Prevent or Rectify the Consequences of Client Crime or Fraud	282
3. Disclosure Reasonably Necessary to Secure Legal Advice	284
4. Disclosure Reasonably Necessary to Establish a Claim or Defense by the Lawyer	284

5.	Disclosure Reasonably Necessary to Comply with Other Law or a Court Order.....	285
	People v. Belge.....	286
6.	Disclosure Reasonably Necessary to Detect Conflicts of Interest.....	289
Chapter 15. Attorney-Client Privilege, Work Product, and Competently Protecting Client Information 293		
A.	The Attorney-Client Privilege	293
	Upjohn Company v. United States.....	295
B.	Work Product Doctrine	302
C.	Privilege and Work Product Exceptions and Waiver.....	304
	1. Exceptions and Waiver Through Intentional Conduct	304
	Lenz v. Universal Music Corp.	306
	2. Inadvertent Disclosure and Waiver	312
D.	Competently Protecting Confidential Client Information and Reducing the Risk of Privilege Waiver	314
SECTION 5. CONFLICTS OF INTEREST INVOLVING CURRENT CLIENTS..... 319		
Chapter 16. Conflicts of Interest..... 321		
A.	General Principles	321
B.	Directly Adverse Conflicts	322
C.	Material Limitation Conflicts.....	325
	People v. Jackson.....	327
D.	Consent to Conflicts	330
	1. Generally.....	330
	2. Advance Conflict Waivers	331
	SuperCooler Technologies, Inc. v. Coca-Cola Co.	331
Chapter 17. Conflicts of Interest Between Lawyer and Client 343		
A.	Business Transactions with Clients.....	344
	Security Federal Sav. & Loan Ass'n v. Riviera, Ltd.	345
	Iowa Supreme Court Attorney Disciplinary Bd. v. Wintroub	348
B.	Sex with Clients	351
C.	Gifts from Clients.....	352
D.	Agreements Regarding a Lawyer's Liability to a Client.....	353
E.	Using Information to the Disadvantage of a Client.....	354
F.	Financial Assistance and Gifts to Clients	354
G.	Literary and Media Rights	355
H.	Receiving Payment for the Representation from a Third-Party	356
	In the Matter of the Rules of Professional Conduct and Insurer Imposed Billing Rules and Procedures	357

SECTION 6. CONTINUING DUTIES TO FORMER CLIENTS..... 365

Chapter 18. Termination of the Client-Lawyer Relationship..... 367

A. Termination by the Client 367
 Hughes and Coleman, PLLC v. Chambers 367

B. Termination by the Lawyer 371
 1. Mandatory Withdrawal..... 372
 2. Permissive Withdrawal..... 373
 Kriegsman v. Kriegsman 373
 Cuadra v. Univision Communications, Inc. 375

C. Protecting a Client’s Interests and Resolving Fee Disputes upon Termination of the Relationship 380
 1. Protecting a Client’s Interests upon Termination..... 380
 Board of Professional Responsibility v. Prewitt 381
 2. Imposing Attorneys’ Liens 383
 3. Returning Client Files..... 384
 4. Arbitrating Fee Disputes 385

Chapter 19. Conflicts of Interest Arising from Prior Representation 389

A. General Principles 389

B. Conflicts of Interest Between Current and Former Clients 391
 1. Material Adversity 391
 2. Substantially Related..... 392
 State ex rel. Wal-Mart Stores, Inc. v. Kortum..... 393

C. Mobile Lawyers and Screening 398
 Hodge v. Ufra-Sexton, LP 399

PART 4. REPRESENTING CLIENTS

SECTION 1. LITIGATION PRACTICE..... 413

Chapter 20. Pre-Trial Advocacy 415

A. Informal Fact Investigation..... 415
 1. Seeking Information from Individuals Represented by Counsel..... 416
 2. Communicating with Unrepresented Persons, Clarifying Your Partisan Role, and Refraining from Rendering Legal Advice to Unrepresented Persons 416

B. Preparing Pleadings, Motions and Other Papers 417
 1. Tort Liability Stemming from the Filing of Frivolous Claims and Motions 417
 2. Sanctions for Filing Frivolous Claims and Motions 419
 Garr v. U.S. Healthcare, Inc. 419

C. Discovery..... 427
 1. Preservation and Spoliation 428
 Zubulake v. UBS Warburg LLC (“Zubulake V”)..... 428
 2. Manipulating Evidence 437

3.	Frivolous Discovery Requests and Objections and Dilatory Tactics	438
4.	Disclosure of a Client's Perjured Testimony During a Deposition	439
5.	Protecting Privilege and Work Product and Addressing Inadvertent Disclosure	439
Chapter 21. Trial and Appellate Advocacy		441
A.	Using Irrelevant or Inadmissible Information	441
B.	Lawyer Acting as a Witness	442
C.	Communicating with Jurors, the Judge, and Court Officers	442
D.	Disruptive and Discriminatory Conduct	444
1.	Engaging in Conduct Intended to Disrupt a Tribunal	444
2.	Discriminatory Comments and Actions	444
E.	Truthfulness and Candor	445
1.	Deception and Trickery at Trial	445
	United States v. Thoreen	446
2.	Candor Toward the Tribunal	450
a.	Disclosure of Adverse Legal Authority	450
b.	Disclosure of Adverse Facts	451
c.	Protecting the Tribunal Against Perjury and Other False Evidence	452
F.	Trial Publicity	455
G.	Frivolous Appeals	456
Chapter 22. Criminal Prosecution Practice		461
	Berger v. United States	461
A.	The Investigative Function of Prosecutors	462
	State of Minnesota v. Clark	462
B.	The Decision to Charge	469
C.	Providing Exculpatory Evidence to the Defense	470
	Brady v. Maryland	470
D.	Trial Publicity	474
E.	Remedying Wrongful Convictions	475
Chapter 23. Criminal Defense Practice		477
A.	Constitutional Law: Ineffective Assistance of Counsel	477
	Strickland v. Washington	477
B.	Tort Law: Legal Malpractice	488
	Barker v. Capotosto	488
C.	Rules of Professional Conduct	494
Chapter 24. Serving as a Judge		499
A.	Becoming a Judge	500
1.	The Judicial Selection Process	500
2.	Limitation on Campaign Activities and Free Speech Concerns	501
	Republican Party of Minnesota v. White	501

B.	Standards of Conduct for Judges	505
1.	Assuring the Quality of Justice	506
2.	Personal and Extrajudicial Activities	506
a.	Restrictions on Personal and Civic Activities	506
b.	Restrictions on Professional Engagements and Extrajudicial Moneymaking Activities.....	506
c.	Restrictions on Accepting Gifts and Loans	507
C.	Regulating the Interaction Between Lawyers and Judges.....	508
1.	Motions for Recusal.....	508
	Cheney v. U.S. Dist. Court for Dist. of Columbia	508
	Caperton v. A.T. Massey Coal Co., Inc.....	512
2.	Interactions Between Lawyers and Judges	515
a.	Ex Parte Communication	515
b.	A Judge’s Duty to Report Lawyer and Judicial Misconduct to Disciplinary Authorities.....	516
c.	A Lawyer’s Duty to Report Judicial Misconduct to Disciplinary Authorities.....	516
d.	Avoiding Complicity in Judicial Misconduct.....	517
SECTION 2. TRANSACTIONAL PRACTICE AND THE REPRESENTATION OF ORGANIZATIONAL CLIENTS		519
Chapter 25. Transactional Practice		521
A.	Conflicts of Interest in Transactional Matters	521
B.	Representing Clients in Non-Litigation Matters	523
1.	Advising Clients	524
2.	Honesty in Negotiations and Other Interactions with Third Parties	526
	Wright v. Pennamped.....	526
3.	Tools Lawyers Can Use to Avoid Liability for Participating in Client Misconduct.....	532
4.	Lawyer Criminal and Civil Liability for Participating in Client Misconduct	533
	United States v. Collins	534
Chapter 26. Representing Organizational Clients		539
A.	Protecting Organizational Clients from Constituent Misconduct	540
1.	Up-the-Ladder Reporting.....	541
2.	Loyal Disclosure	543
B.	Organizational Clients and Attorney-Client Privilege	545
1.	Common Organizational Client Attorney-Client Privilege Issues.....	545
2.	Organizational Attorney-Client Privilege and Internal Investigations	548
	In re Grand Jury Subpoena: Under Seal	549
C.	Organizational Clients, Constituents, and Conflicts of Interest.....	555

PART 5. ATTORNEY WELL-BEING AND LEGACY

Chapter 27. Attorney Well-Being	561
A. The Attorney Well-Being Movement: An Issue of Attorney Ethics and Client Protection?.....	562
What the Lawyer Well-Being Movement Could Learn from the Americans with Disabilities Act	564
B. When Should the Bar, Employers, and Colleagues Intervene to Address Concerns About Attorney Well-Being?.....	569
1. Bar Admission Hurdles for Applicants with Alcohol- and Drug-Related Incidents in Their Past.....	569
My Bar Admission Experience	570
2. Providing Resources and Support for Lawyers	574
3. When Clients Are Harmed by an Attorney’s Substance Abuse.....	575
In the Matter of Justin K. Holstin, Respondent.....	575
4. Identifying and Addressing the Warning Signs of an Attorney in Distress	577
‘Big Law Killed My Husband’: An Open Letter from a Sidley Partner’s Widow.....	577
C. Thriving as Law Students and Lawyers: Making Choices and Developing Tools to Support Your Well-Being	581
1. Considerations in Selecting Your Employers Through the Years.....	581
2. Your Mindset Matters: Frame Stressful Situations as Exciting and Embrace Your Ability to Grow	583
3. Adopt a Gratitude Practice	585
4. Integrate Mindfulness into Your Day	586
5. Seek Confidential Professional Support When You Struggle.....	588
Chapter 28. Reflections on a Rewarding Career as a Lawyer.....	591
A Passion for Justice: Sharon G. Lee	592
INDEX.....	599