

CONTENTS

<i>Table of Problems</i>	<i>xxix</i>
<i>Foreword</i>	<i>xxxiii</i>
<i>Preface to the Second Edition for Teachers and Students</i>	<i>xxxvii</i>
<i>Acknowledgments</i>	<i>xliii</i>
Introduction	1
A. Ethics, morals, and professionalism	1
B. Some central themes in this book	7
1. Conflicts of interest	7
2. Truthfulness	7
3. Lawyers' duties to clients versus their duties to the justice system	8
4. Lawyers' personal and professional interests versus their fiduciary obligations	10
5. Self-interest as a theme in regulation of lawyers	10
6. Lawyers as employees: institutional pressures on ethical judgments	11
C. The structure of this book	13
D. The rules quoted in this book: A note on sources	14
E. Stylistic decisions	17
Chapter 1: The Regulation of Lawyers	19
A. Institutions that regulate lawyers	20
1. The highest state courts	20
a. The responsibility of self-regulation	20
b. The inherent powers doctrine	23
2. State and local bar associations	25
3. Lawyer disciplinary agencies	26
4. The American Bar Association	27
5. The American Law Institute	28

6. Federal and state trial courts	30
7. Legislatures	31
8. Administrative agencies	32
9. Prosecutors	33
10. Malpractice insurers	34
11. Law firms and other employers	34
12. Clients	35
B. The state ethics codes	38
C. Research on ethics law	43
D. Admission to practice	45
1. A short history of bar admission	45
2. Contemporary bar admission requirements	46
3. The bar examination	47
4. The character and fitness inquiry	49
a. Criteria for evaluation	49
b. The character questionnaire	54
Problem 1-1: Pot	57
c. Mental health of applicants	59
Jon Bauer, The Character of the Questions and the Fitness of the Process: Mental Health, Bar Admissions, and the Americans with Disabilities Act	61
d. Misconduct during law school	64
In re Mustafa	64
California Bar Journal	66
e. Law school discipline: A preliminary screening process	68
Problem 1-2: The Doctored Resume	69
Chapter 2: Lawyer Liability	73
A. Professional discipline	75
1. The history and process of lawyer discipline	75
2. Grounds for discipline	81
In re Peters	87
3. Reporting misconduct by other lawyers	96
a. The duty to report misconduct	97
Daryl van Duch, Best Snitches: Land of Lincoln Leads the Nation in Attorneys Turning in Their Peers	100
b. Lawyers' responsibility for ethical misconduct by colleagues and superiors	104
Problem 2-1: The Little Hearing	109
c. Legal protections for subordinate lawyers	110

David Margolick, New York Court Shields Lawyers Who Report Dishonest Colleagues	112
The Jacobson case: A contrary result	114
The strange tale of Scott McKay Wolas	114
Kelly v. Hunton & Williams	118
Problem 2-2: The Photographer	126
B. Civil liability of lawyers	128
1. Legal malpractice	128
2. Malpractice insurance	134
3. Other civil liability of lawyers	136
a. Liability for breach of contract	136
b. Liability for violation of regulatory statutes	136
4. Disqualification for conflicts of interest	137
C. Criminal liability of lawyers	137
D. Client protection funds	142
E. Summing up: What law governs lawyers?	147
Chapter 3: The Duty to Protect Client Confidences	151
A. The basic principle of confidentiality	152
1. Protection of “information relating to the representation of a client”	152
Problem 3-1: Your Dinner with Anna, Scene 1	155
Problem 3-2: Your Dinner with Anna, Scene 2	157
2. Protection of information if there is a reasonable prospect of harm to a client’s interests	159
3. The bottom line	160
B. Exceptions to the duty to protect confidences	161
1. Revelation of past criminal conduct	164
The missing persons case: The defense of Robert Garrow	164
Problem 3-3: The Missing Persons, Scene 1	164
Problem 3-4: The Missing Persons, Scene 2	169
The real case	170
People v. Belge	171
People v. Belge (appeal)	173
Problem 3-5: The Missing Persons, Scene 3	174
2. The risk of future injury or death	176
Spaulding v. Zimmerman: Revealing confidences to prevent injury or death	178
Spaulding v. Zimmerman	179
Problem 3-6: Your Dinner with Anna, Scene 3	187

3. Client frauds and crimes that cause financial harm	188
a. Lawyers prohibited from advising or assisting clients' crimes and frauds	188
b. Ethics rules allowing revelation of client crimes or frauds to prevent, mitigate, or remedy harm to others	193
c. Enron and the Sarbanes-Oxley Act	196
Recent developments in the implementation of Sarbanes-Oxley	199
Problem 3-7: Reese's Leases	202
4. Revealing confidences to obtain advice about legal ethics	205
5. Using a client's confidential information to protect the lawyer's interests	205
6. Revealing confidences to comply with other law or a court order	208
C. Use or disclosure of confidential information for personal gain or to benefit another client	209
Problem 3-8: An Investment Project	210
D. Talking to clients about confidentiality	211
E. A concluding problem	212
Problem 3-9: Rat Poison	212

Chapter 4: The Attorney-Client Privilege and the Work Product Doctrine

Chapter 4: The Attorney-Client Privilege and the Work Product Doctrine	215
A. Confidentiality and attorney-client privilege, compared	217
1. Ethics law versus evidence law	217
2. Difference in scope	218
3. Different methods of enforcement	219
4. When attorney-client privilege is invoked	219
5. Why study a rule of evidence in a professional responsibility course?	220
6. Source of the privilege	221
B. The elements of attorney-client privilege	221
1. Communication	221
2. Privileged persons	222
3. Communication in confidence	223
4. Communication for the purpose of seeking legal assistance	223
C. Client identity	228
D. Waiver	229
1. Express waiver by client	229
2. Waiver by inaction	229

3.	Waiver by revealing privileged communication to a nonprivileged person	229
4.	Waiver by putting privileged communication into issue	231
5.	Waiver as to a conversation by disclosure of part of it	231
6.	Compliance with court orders	231
	Problem 4-1: Murder for Hire	232
E.	The crime-fraud exception	233
1.	No privilege if a client seeks assistance with a crime or fraud	233
	Problem 4-2: The Fatal Bus Crash	237
2.	Procedure for challenging a claim of privilege	239
3.	The potential importance of privilege claims in litigation	239
F.	The death of the client	240
1.	Introduction	240
	Problem 4-3: The Dead Murderer	240
2.	The suicide of Vincent Foster	241
	a. Factual background	241
	b. The Supreme Court evaluates the privilege claim	242
	Swidler & Berlin v. United States	242
G.	The privilege for corporations	244
1.	The scope of the privilege for corporations	245
	Upjohn Co. v. United States	245
2.	Governmental requests for waiver of privilege	250
	Sarah Helene Duggin, Internal Corporate Investigations: Legal Ethics, Professionalism, and the Employee Interview	251
	Sarah Helene Duggin, The Impact of the War over the Corporate Attorney-Client Privilege on the Business of American Health Care	254
	The McNulty Memorandum	256
	Problem 4-4: Worldwide Bribery	259
H.	The work product doctrine	261
1.	Work product prepared in anticipation of litigation	261
2.	Origins of the work product rule	261
3.	Materials not created or collected in anticipation of litigation	262
4.	A qualified protection	262
5.	Protection of lawyer's "mental impressions"	263
6.	Protection of work product, not underlying information	263

Chapter 5: Relationships Between Lawyers and Clients	265
A. Formation of the lawyer-client relationship	266
1. Choosing clients	266
2. Offering advice as the basis for a lawyer-client relationship	269
Togstad v. Vesely, Otto, Miller & Keefe	269
B. Lawyers' responsibilities as agents	276
1. Express and implied authority	276
2. Apparent authority	277
3. Authority to settle litigation	278
C. Lawyers' duties of competence, honesty, communication, and diligence	279
1. Competence	279
Problem 5-1: The Washing Machine	283
2. Competence in criminal cases	284
Strickland v. Washington	285
3. Diligence	291
4. Candor and communication	293
a. Is it ever okay to lie?	293
b. Lying versus deception: Is there a moral distinction?	294
c. Truth versus truthfulness	295
d. Honesty and communication under the ethics rules	295
e. Civil liability for dishonesty to clients	298
Problem 5-2: Lying to Clients	299
5. Candor in counseling	301
Problem 5-3: Torture	302
6. Contractual duties	304
7. Contractual limits on representation: "unbundled legal services"	305
D. Who calls the shots?	309
1. The competent adult client	309
Jones v. Barnes	313
Problem 5-4: The Package Bomber	321
2. Clients with diminished capacity	326
a. Clients who may have mental disabilities	327
Paul R. Tremblay, On Persuasion and Paternalism: Lawyer Decisionmaking and the Questionably Competent Client	328
Problem 5-5: Vinyl Windows	331
Problem 5-6: Tightening the Knot	333

b. Juveniles	334
Martin Guggenheim, A Paradigm for Determining the Role of Counsel for Children	335
ABA, Standards of Practice for Lawyers Representing a Child in Abuse and Neglect Cases (1996)	337
Frances Gall Hill, Clinical Education and the “Best Interest” Representation of Children in Custody Disputes: Challenges and Opportunities in Lawyering and Pedagogy	339
Problem 5-7: The Foster Child	341
E. Terminating a lawyer-client relationship	344
1. Duties to the client at the conclusion of the relationship	344
Problem 5-8: The Candid Notes	346
2. Grounds for termination before the work is completed	347
a. When the client fires the lawyer	347
b. When continued representation would involve unethical conduct	347
c. When the lawyer wants to terminate the relationship	348
d. Matters in litigation	348
e. When the client stops paying the fee	349
f. When the case imposes an unreasonable financial burden on the lawyer	349
g. When the client will not cooperate	350

Chapter 6: Concurrent Conflicts of Interest: General Principles

Principles	351
A. An introduction to conflicts of interest	352
1. Why the study of conflicts is difficult	354
2. How the conflicts chapters are organized	356
3. How the conflicts rules are organized	357
B. General principles in evaluating concurrent conflicts	359
1. Rule 1.7	359
a. Direct adversity	361
b. Material limitation	362
2. How to evaluate conflicts	362
3. Nonconsentable conflicts	363
a. The lawyer’s reasonable belief	364
b. Representation prohibited by law	365
c. Suing one client on behalf of another client	365
4. Informed consent	365
5. Withdrawal and disqualification	370

6. Imputation of concurrent conflicts	371
Problem 6-1: The Injured Passengers, Scene 1	373
C. Conflicts between current clients in civil litigation	374
1. Suing a current client	375
Problem 6-2: I thought you were <i>my</i> lawyer!	377
2. Cross-examining a current client	378
3. Representation of co-plaintiffs or co-defendants in civil litigation	379
Problem 6-3: The Injured Passengers, Scene 2	380
4. Representing economic competitors in unrelated matters	380
5. Conflicts in public interest litigation	381
Problem 6-4: The Prisoners' Dilemma	381
6. Taking inconsistent positions in litigation	383
Problem 6-5: Top Gun	384
D. Conflicts involving prospective clients	386
Problem 6-6: The Secret Affair	388

Chapter 7: Concurrent Conflicts in Particular Practice

Settings	391
A. Representing both parties to a transaction	393
B. Representing organizations	396
1. Who is the client?	398
2. Representing the entity and employees	400
3. Duty to protect confidences of employees	401
4. Responding to unlawful conduct by corporate officers and other employees	402
5. Entity lawyers on boards of directors	403
Problem 7-1: My Client's Subsidiary	404
C. Representing criminal co-defendants	406
1. The costs and benefits of joint representation of co-defendants	406
2. Case law and ethics rules on joint representation of co-defendants	408
3. The Sixth Amendment and joint representation	410
Problem 7-2: Police Brutality, Scene 1	414
Problem 7-3: Police Brutality, Scene 2	414
Problem 7-4: Police Brutality, Scene 3	415
D. Representing family members	416
1. Representing both spouses in a divorce	416
2. Representing family members in estate planning	417

Florida Bar Opinion 95-4	417
Problem 7-5: Representing the McCarthys	420
E. Representing insurance companies and insured persons	421
Problem 7-6: Two Masters	425
F. Representing plaintiffs in class actions	427
G. Representing parties to aggregate settlements of individual cases	430
Chapter 8: Conflicts Involving Former Clients	435
A. The nature of conflicts between present and former clients	436
B. Duties to former clients	438
C. Distinguishing present and former clients	440
Problem 8-1: Keeping in Touch	442
D. Evaluating successive conflicts	445
1. The same matter	445
2. Substantial relationship	446
3. Material adversity	455
E. Addressing former client conflicts in practice	457
Problem 8-2: The District Attorney	458
F. Representing the competitor of a former client	459
Maritrans GP, Inc. v. Pepper, Hamilton & Scheetz	460
G. Conflicts between the interests of a present client and a client who was represented by a lawyer's former firm	469
1. Analyzing former firm conflicts	470
2. Using or revealing a former client's confidences	471
Problem 8-3: A Dysfunctional Family Business	472
H. Imputation of former client conflicts to affiliated lawyers	474
Problem 8-4: The Fatal Shot	480
Chapter 9: Conflicts Between Lawyers and Clients	483
A. Legal fees	486
1. Lawyer-client fee contracts	486
a. Types of agreements	486
b. Reasonable Fees	487
Brobeck, Phleger & Harrison v. Telex Corp.	490
In the Matter of Fordham	496
c. Communication about fee arrangements	502
Problem 9-1: An Unreasonable Fee?	504
d. Modification of fee agreements	505
Problem 9-2: Rising Prices	506

2.	Regulation of hourly billing and billing for expenses	506
	Lisa G. Lerman, Scenes from a Law Firm	519
3.	Contingent fees	527
	a. In general	527
	b. Criminal and domestic relations cases	530
4.	Forbidden and restricted fee and expense arrangements	532
	a. Buying legal claims	532
	b. Financial assistance to a client	533
	Problem 9-3: An Impoverished Client	533
	c. Publication rights	534
	d. Advance payment of fees and nonrefundable retainer fees	535
5.	Fee disputes	537
	a. Prospective limitations of lawyers' liability and settlement of claims against lawyers	537
	b. Fee arbitration	539
	c. Collection of fees	540
	d. Fees owed to a lawyer who withdraws or is fired before the matter is completed	542
6.	Dividing fees with other firms or with nonlawyers	543
	a. Division of fees between lawyers not in the same firm	543
	b. Sharing fees with nonlawyers	545
7.	Payment of fee by a third party	546
B.	Lawyer as custodian of client property and documents	547
	1. Client trust accounts	547
	2. Responsibility for client property	548
	a. Prompt delivery of funds or property	548
	b. Disputes about money or property in lawyer's possession	549
	c. Lawyers' responsibilities to clients' creditors	550
	3. Administering estates and trusts	550
C.	Conflicts with lawyers' personal or business interests	551
	1. In general	551
	2. Business transactions between lawyer and client	552
	Problem 9-4: Starting a Business	556
	3. Gifts from clients	557
	4. Sexual relationships with clients	558
	5. Intimate or family relationships with adverse lawyers	560
	6. Imputation of lawyer-client conflicts to other lawyers in a firm	560

a. Financial interest conflicts	560
b. General rule on imputation of conflicts with a lawyer's interests	560
Chapter 10: Conflicts Issues for Government Lawyers and Judges	563
A. Successive conflicts of former and present government lawyers	563
1. Conflicts of former government lawyers in private practice	564
a. What is a "matter"?	566
b. Personal and substantial participation	567
c. Screening of former government lawyers	568
d. Confidential government information	569
Problem 10-1: A Lawyer for Libya	571
2. Conflicts of government lawyers who formerly worked in private practice	575
B. Conflicts involving judges, arbitrators, and mediators	576
1. History of judicial ethics codes in the United States	577
2. Overview of the Model Code of Judicial Conduct	579
3. Impartiality and fairness, avoidance of bias, prejudice and harassment	580
4. Ex parte communications	582
5. Disqualification of judges	583
Problem 10-2: A Trip to Monte Carlo	586
Problem 10-3: The Judge's Former Professor	587
6. Conflicts rules for former judges, law clerks, arbitrators, and mediators	589
a. Personal and substantial participation	589
b. Imputation	590
c. Employment negotiation	590
Chapter 11: Lawyers' Duties to Courts	593
A. Being a good person in an adversary system	594
Charles Fried, The Lawyer as Friend: The Moral Foundations of the Lawyer-Client Relation	596
Stephen Gillers, Can a Good Lawyer Be a Bad Person?	597
B. Investigation before filing a complaint	598
Problem 11-1: Your Visit from Paula Jones	604
C. Truth and falsity in litigation	605
1. The rules on candor to tribunals	606
2. Which rule applies when? A taxonomy of truth-telling problems in litigation	607

3.	A lawyer's duties if a client or witness intends to give false testimony	609
a.	When the lawyer believes that a criminal defendant intends to lie on the stand	609
	Nix v. Whiteside	609
b.	A lawyer's "knowledge" of a client's intent to give false testimony	615
	Problem 11-2: Flight from Sudan, Scene 1	617
c.	A lawyer's duties if a client intends to mislead the court without lying	620
	Problem 11-3: Flight from Sudan, Scene 2	622
d.	Variations in state rules on candor to tribunals	624
4.	False impressions created by lawyers during litigation	626
	How Simpson Lawyers Bamboozled a Jury	626
	Problem 11-4: The Drug Test	627
	Problem 11-5: The Body Double	629
5.	Lawyers' duties of truthfulness in preparing witnesses to testify	629
	Problem 11-6: Refreshing Recollection	633
D.	Concealment of physical evidence and documents	634
1.	Duties of criminal defense lawyers with respect to evidence of crimes	635
	Problem 11-7: Child Pornography	642
2.	Concealment of documents and evidence in civil cases	643
a.	A more limited obligation to reveal	643
b.	A lawyer's duties in responding to discovery requests	645
	Wayne D. Brazil, Views from the Front Lines: Observations by Chicago Lawyers About the System of Civil Discovery	646
	Ethics: Beyond the Rules (symposium)	648
	Problem 11-8: The Damaging Documents	651
E.	The duty to disclose adverse legal authority	654
F.	Disclosures in ex parte proceedings	656
G.	Improper influences on judges and juries	658
1.	Improper influences on judges	658
a.	Ex parte communication with judges	658
b.	Campaign contributions	660
2.	Improper influences on juries	660
a.	Lawyers' comments to the press	660
	The Gentile case	661
	Problem 11-9: A Letter to the Editor	664

Scott Brede, A Notable Case of Exceptionally Unsafe Sex	666
b. Impeachment of truthful witnesses	666
Harry I. Subin, The Criminal Defense Lawyer’s “Different Mission”: Reflections on the “Right” to Present a False Case	667
c. Statements by lawyers during jury trials	669
H. Lawyers’ duties in nonadjudicative proceedings	674

Chapter 12: Lawyers’ Duties to Adversaries and Third Persons

Chapter 12: Lawyers’ Duties to Adversaries and Third Persons	679
A. Communications with lawyers and third persons	680
1. Deception of third persons	680
a. The duty to avoid material false statements	680
Problem 12-1: Emergency Food Stamps	680
b. Lawyers’ duties of truthfulness in fact investigation	683
Apple Corps, Ltd. v. International Collectors Society	685
The Gatti case	685
In re Gatti	686
c. Lawyers’ duties of truthfulness in negotiation	689
Carrie Menkel-Meadow, Ethics, Morality and Professional Responsibility in Negotiation	690
d. Receipt of inadvertently transmitted information, including metadata	692
e. Obligations of disclosure to third persons	694
2. Restrictions on contact with represented persons	694
Messing, Rudavsky & Weliky, P.C. v. President & Fellows of Harvard College	699
3. Restrictions on contact with unrepresented persons	705
Problem 12-2: The Complaining Witness	709
Problem 12-3: The Break-In	711
B. Duties of Prosecutors	713
Ken Armstrong & Maurice Possley, Trial and Error, Part I: Verdict: Dishonor	714
1. Undercover investigations	715
Problem 12-4: The Prosecutor’s Masquerade	717
2. Required investigation by prosecutors before charges are filed	719
3. Concealment of exculpatory evidence	720
Duff Wilson, Hearing Ends in Disbarment for Prosecutor in Duke Case	720

4. Unreliable evidence	722
5. Enforcement	724
Ellen Yaroshefsky, Wrongful Convictions: It Is Time to Take Prosecution Discipline Seriously	724
C. Conduct prejudicial to the administration of justice	725
Problem 12-5: The Suggested Boycott	727
D. Are lawyers really too zealous?	728
Ted Schneyer, Moral Philosophy's Standard Misconception of Legal Ethics	729
Chapter 13: The Legal Profession	731
A. Origins and development of the U.S. legal profession	733
1. Pre-revolutionary America	733
2. The nineteenth century	734
3. Growth of large firms in the twentieth century	735
B. A short history of American legal education	736
C. Race, sex, and class in the legal profession	738
1. Women	740
2. People of color	743
D. The legal profession today	746
1. Large firms	749
Michael Asimow, Embodiment of Evil: Law Firms in the Movies	751
Patrick J. Schiltz, On Being a Happy, Healthy, and Ethical Member of an Unhappy, Unhealthy, and Unethical Profession	753
Problem 13-1: The Reforming Partner	761
Problem 13-2: The Job Interview	765
2. Small firms	765
a. Salaries and attrition	765
b. Setting one's own schedule	766
c. Bringing in business	768
d. Promotion in small firms	768
e. Other features of small-firm life	769
f. Urban versus rural practice	769
g. Gender bias in small firms	770
h. The future of small firms	770
i. Small firms and the Internet	771
3. Government and nonprofit organizations	772
4. Temporary and contract lawyers	773
5. Overseas outsourcing	775

E. The ethical climate of the legal profession	776
1. Mass production	778
Problem 13-3: Small Claims	778
2. Pressure to pad bills	779
Patrick J. Schiltz, On Being a Happy, Healthy, and Ethical Member of an Unhappy, Unhealthy, and Unethical Profession	779
3. Pressure from clients to help them commit fraud	782
4. Ethics and substance abuse	783
Problem 13-4: “I’m Not Driving”	784
5. Public perceptions of lawyers	785
6. How to find an employer that has high ethical standards and humane work conditions	787
Chapter 14: Regulatory Restrictions on Law Practice	791
A. Advertising	792
Bates v. State Bar of Arizona	793
B. Solicitation	799
1. In person	799
2. Direct mail	800
Problem 14-1: Do You Need a Lawyer?	801
C. Interstate law practice	802
Stephen Gillers, It’s an MJP World: Model Rules Revisions Open the Door for Lawyers to Work Outside Their Home Jurisdictions	804
D. Affiliation with nonlawyers	807
1. Ownership of law firms	807
2. Multidisciplinary practice	810
Stacy L. Brustin, Legal Services Provision Through Multidisciplinary Practice: Encouraging Holistic Advocacy While Protecting Ethical Interests	811
3. A prediction from overseas	814
Chapter 15: The Provision of Legal Services	819
A. The unmet need for legal services	820
B. Sources of free legal services for those who cannot afford fees	826
1. The right to counsel for indigent litigants	826
a. Criminal defendants	826
Problem 15-1: An Indigent Prisoner	829
Richard C. Dieter, With Justice for Few: The Growing Crisis in Death Penalty Representation	830
b. Parties in civil and administrative proceedings	833

2. Civil legal aid	836
a. The Legal Services Corporation	836
Alan W. Houseman & Linda E. Perle, Securing Justice for All: A Brief History of Civil Legal Assistance in the United States	836
Problem 15-2: Restrictions on Legal Services	845
b. Other civil legal services	846
c. The IOLTA controversy	847
3. Fee-shifting statutes	848
a. Fee waiver as a term of a settlement	849
b. Who is a “prevailing party” entitled to attorneys’ fees?	851
Margaret Graham Tebo, Fee-Shifting Fallout	852
4. Pro bono representation	853
Judith L. Maute, Changing Conceptions of Lawyers’ Pro Bono Responsibilities: From Chance Noblesse Oblige to Stated Expectations	858
Deborah L. Rhode, Cultures of Commitment: Pro Bono for Lawyers and Law Students	859
Problem 15-3: Mandatory Pro Bono Service	862
5. Loan forgiveness and scholarships for public service lawyers	862
C. Restricting legal services: Limiting the role of lay advocates	865
David C. Vladeck, Statement Before the ABA Commission on Non-lawyer Practice	866
Problem 15-4: Special Education	870
Problem 15-5: Service to the Poor and Middle Class	872
About the Authors	873
<i>Table of Articles, Books, and Reports</i>	875
<i>Table of Cases</i>	893
<i>Table of Rules, Restatements, Statutes, Bar Opinions, and Other Standards</i>	901
<i>Index</i>	911