Contents

Table of Problems	xx1
Preface to the Sixth Edition for Teachers and Students.	
Acknowledgments	xxxiii
A Note to Students About Updates to This Book	xxxix
Introduction	1
A. Ethics, morals, and professionalism	
B. Some central themes in this book	
1. Conflicts of interest	
2. Truthfulness	
3. Lawyers' duties to clients versus their duties to	
4. Lawyers' personal and professional interests v	
fiduciary obligations	
5. Self-interest as a theme in regulation of lawye	
6. Lawyers as employees: Institutional pressures7. The changing legal profession	
C. The structure of this book	
D. The rules quoted in this book: A note on sources .	
E. Stylistic decisions	
El definite decisions	
Chapter 1: The Legal Profession: Bar A	dmission, History,
and Diversity	17
A. Admission to the bar	18
1. Changes in bar admission requirements over	time
2. Contemporary bar admission requirements	
3. The bar examination	
4. The character and fitness inquiry	
a. Criteria for evaluation	
b. Filling out the character questionnaire	
	33
c. Mental health questions about applicants.	
d. Law school discipline: A preliminary scree	
	38
B. History and development of the U.S. legal profession	on

xiv Contents

	1. Pre-revolutionary America	40
	2. The nineteenth and twentieth centuries	41
	3. History of American legal education	43
C.	Diversity and discrimination in the legal profession	46
	1. Women lawyers	48
	2. Lawyers of color	
	3. Lesbian, gay, bisexual, transgender, and queer lawyers	58
	4. Lawyers with disabilities	59
	5. Lawyers from low-income families	60
	6. Other bases of discrimination in the legal profession	60
C	hapter 2: The Legal Profession: Regulation, Discipline,	
	and Liability	63
A.	Institutions that regulate lawyers	64
	1. The highest state courts	67
	2. State and local bar associations	69
	3. Lawyer disciplinary agencies	70
	4. American Bar Association	71
	5. American Law Institute	72
	6. Federal and state courts	73
	7. Legislatures	74
	8. Administrative agencies	75
	9. Prosecutors	76
	10. Malpractice insurers	77
	11. Law firms and other employers	
	12. Clients.	
	State ethics codes	
C.	The disciplinary system	
	1. Grounds for discipline	
	Problem 2-1: The Dying Mother	
	2. Reporting misconduct by other lawyers	
	a. The duty to report misconduct	
	Problem 2-2: Exculpatory Evidence	
	b. Lawyers' responsibility for ethical misconduct by others in a law office	
	Problem 2-3: The Little Hearing	
	c. Legal protections for subordinate lawyers	
	The Wieder case.	
D.	Civil liability	
	1. Legal malpractice	
	2. Malpractice insurance	
	3. Other civil liability	
	a. Liability for breach of contract	
	b. Liability for violation of regulatory statutes	
	4. Disqualification for conflicts of interest	
	Criminal liability	
F	Client protection funds	134

C	apter 3: Relationships Between Lawyers and Clients	137
A.	Formation of the lawyer-client relationship	138
	1. Lawyer discretion in selection of clients	
	2. Offering advice as the basis for a lawyer-client relationship	
	Togstad v. Vesely, Otto, Miller & Keefe	
В.	Lawyers' duties of competence, diligence, honesty, and communication	
	1. Competence	150
	Problem 3-1: The Washing Machine	154
	2. Competence in criminal cases	155
	a. Strickland v. Washington	
	b. The aftermath of <i>Strickland</i>	158
	Missouri v. Frye.	
	Lafler v. Cooper	
	Problem 3-2: A Desire to Investigate	
	3. Diligence	
	4. Candor and communication	
	a. Is it ever okay to lie?	
	b. Lying versus deception: Is there a moral distinction?	
	c. Honest mistakes	
	d. Honesty and communication under the ethics rules	
	e. Civil liability for dishonesty to clients	
	5. Candor in counseling	
	Problem 3-3: Torture	
	6. Duties imposed by contract in addition to those imposed by the ethics code.	
	7. Agreements to limit the scope of representation	
_	8. Contractual modification of a lawyer's duties: Collaborative law practice	
C.	Lawyers' responsibilities as agents	
	2. Apparent authority3. Authority to settle litigation	
D	Who calls the shots?	
υ.	1. The competent adult client	
	Jones v. Barnes.	
	2. Clients with diminished capacity	
	a. Assessing diminished capacity	
	b. Options available to attorneys when clients have diminished capacity	
	Problem 3-4: Vinyl Windows	
	c. Juveniles	
E.	Terminating a lawyer-client relationship	207
	1. Duties to the client at the end of the relationship	
	2. Grounds for termination before the work is completed	
	a. When continued representation would involve illegal or unethical condu	
	b. If the lawyer becomes impaired	
	c. When the client fires the lawyer	
	d. When the lawyer wants to terminate the relationship	
	e. Matters in litigation	
	f. When the client stops paying the fee	

xvi Contents

g. When the case imposes an unreasonable financial burden on the lawyer .	
h. When the client will not cooperate	213
3. Collection of fees.	213
Chapter 4: The Duty to Protect Client Confidences	215
A. The basic principle of confidentiality	
1. What is confidential?	
Problem 4-1: Your Dinner with Anna	220
2. Protection of information if there is a reasonable prospect of harm to a	
client's interests	
3. The bottom line on informal communications	
4. Additional cautions about protecting client confidences	
5. Confidentiality and technology	
B. Exceptions to the duty to protect confidences	
1. Informed consent and implied authorization	
2. Revelation of past criminal conduct	
Case study: The defense of Robert Garrow	
Problem 4-2: The Buried Bodies, Scene 1	
Problem 4-3: The Buried Bodies, Scene 2	
What happened next	
The Belge case	
People v. Belge	
People v. Belge (appeal)	
Problem 4-4: The Buried Bodies, Scene 3	
3. The risk of future injury or death	
Spaulding v. Zimmerman	
Spaulding v. Zimmerman (appeal)	
Problem 4-5: Rat Poison	
a. Ethics rules allowing revelation of client crimes or frauds to prevent,	258
mitigate, or remedy harm to others	250
b. Enron, the Sarbanes-Oxley Act, and Rules 1.6(b)(2) and (3)	
c. Subsequent developments in the implementation of Sarbanes-Oxley	
Problem 4-6: Reese's Leases	
5. Revealing confidences to obtain advice about legal ethics	
6. Using a client's confidential information to protect the lawyer's interests	
7. Revealing confidences to comply with a court order or other law	
8. Revealing confidences to prevent certain conflicts of interest	
C. Use or disclosure of confidential information for personal gain or to benefit	2/4
another client	275
Problem 4-7: An Investment Project.	
D. Talking to clients about confidentiality	
D. Talking to chemis about confidentiality	
Chapter 5: The Attorney-Client Privilege and the Work	
Product Doctrine	279
A. Confidentiality and attorney-client privilege compared	

Contents	xvii

	2. Scope of the privilege	281
	3. Methods of enforcing the privilege	282
В.	The elements of attorney-client privilege	282
	1. Communication	282
	2. Privileged persons	
	3. Communication in confidence	284
	4. Communication for the purpose of seeking legal assistance	
C.	Asserting the privilege	291
	Waiver of the privilege	
E.	Exceptions to the privilege	
	1. The Sixth Amendment	
	2. Lawyer self-defense	
	3. Other revelations permitted or required by the ethics codes	
	Problem 5-1: Murder for Hire	
	4. The crime-fraud exception	
_	Problem 5-2: The Payoff	
F.		
	1. Introduction	
	Problem 5-3: A Secret Confession.	
	2. The suicide of Vincent Foster	
	a. Factual background	
	b. The Supreme Court evaluates the privilege claim	
\mathcal{C}	Swidler & Berlin v. United States	
	The attorney-client privilege for corporations	
	The work product doctrine	
1.	Problem 5-4: Worldwide Bribery	
	1 Toblem 3-4. Worldwide Bridery	
C	hapter 6: Conflicts of Interest: Current Clients	323
A	An introduction to conflicts of interest.	324
11.	What makes the study of conflicts difficult	
	2. How the conflicts chapters are organized	
	3. How the conflicts rules are organized	
В.	General principles in evaluating concurrent conflicts	
	1. Direct adversity	
	2. Material limitation	335
	3. Nonconsentable conflicts	335
	a. The lawyer's reasonable belief	336
	b. Representation prohibited by law	337
	c. Suing one client on behalf of another client	
	c. dame one enem on benun of unother enem	338
	4. Informed consent	339
	4. Informed consent5. Withdrawal and disqualification	339
	4. Informed consent	339
	 4. Informed consent 5. Withdrawal and disqualification Problem 6-1: The Injured Passengers, Scene 1 6. Imputation of concurrent conflicts 	339 344 346 347
	 4. Informed consent 5. Withdrawal and disqualification. Problem 6-1: The Injured Passengers, Scene 1 6. Imputation of concurrent conflicts Problem 6-2: Food Poisoning 	339 344 346 347
C.	 4. Informed consent 5. Withdrawal and disqualification. Problem 6-1: The Injured Passengers, Scene 1 6. Imputation of concurrent conflicts Problem 6-2: Food Poisoning Conflicts between current clients in litigation 	339 344 346 348 351
C.	 4. Informed consent 5. Withdrawal and disqualification. Problem 6-1: The Injured Passengers, Scene 1 6. Imputation of concurrent conflicts Problem 6-2: Food Poisoning Conflicts between current clients in litigation 1. Suing a current client 	339 344 346 348 351
C.	 4. Informed consent 5. Withdrawal and disqualification. Problem 6-1: The Injured Passengers, Scene 1 6. Imputation of concurrent conflicts Problem 6-2: Food Poisoning Conflicts between current clients in litigation 	339 344 346 348 351

xviii Contents

3. Representation of co-plaintiffs or co-defendants in civil litigation	355
Problem 6-4: The Injured Passengers, Scene 2	358
4. Representing economic competitors in unrelated matters	359
5. Positional conflicts: Taking inconsistent legal positions in litigation	360
Problem 6-5: Top Gun.	361
Chapter 7: Conflicts Involving Former and Prospective Clients	365
A. Nature of conflicts between present and former clients	366
B. Duties to former clients	368
C. Distinguishing present and former clients	370
Problem 7-1: Keeping in Touch	
Problem 7-2: A Better Client	
D. Evaluating successive conflicts	
1. The same matter	
2. Substantial relationship	
3. Material adversity	
E. Addressing former client conflicts in practice	387
F. Conflicts between the interests of a present client and a client who was	
represented by a lawyer's former firm	
1. Analyzing former firm conflicts	
2. Using or revealing a former client's confidences	
G. Imputation of former client conflicts to affiliated lawyers	
Problem 7-3: The Bid Protest	
Problem 7-4: A Brief Consultation	
Problem 7-5: The Fatal Shot	
H. Conflicts involving prospective clients	
Problem 7-6: The Secret Affair	416
Chapter 8: Conflicts Issues in Particular Practice Settings	419
A. Representing multiple parties who are not in litigation	420
B. Representing organizations.	425
1. Who is the client?	428
Problem 8-1: My Client's Subsidiary	429
2. Representing the entity and employees	430
3. Duty to protect confidences of employees	432
4. Responding to unlawful conduct by corporate officers and other employees	432
5. Entity lawyers on boards of directors	
Problem 8-2: "Don't Rock the Boat"	434
C. Representing co-defendants in criminal cases	
1. Costs and benefits of joint representation of co-defendants	40=
2. Conflicts issues and Sixth Amendment concerns in criminal defense	437
Conflicts issues and Sixth Amendment concerns in criminal defense	437 444
Conflicts issues and Sixth Amendment concerns in criminal defense	437 444 445
Conflicts issues and Sixth Amendment concerns in criminal defense	437 444 445 446
2. Conflicts issues and Sixth Amendment concerns in criminal defense Problem 8-3: Police Brutality, Scene 1 Problem 8-4: Police Brutality, Scene 2 Problem 8-5: Police Brutality, Scene 3 D. Representing co-defendants in civil cases.	437 444 445 446 448
Conflicts issues and Sixth Amendment concerns in criminal defense Problem 8-3: Police Brutality, Scene 1	437 444 445 446 448
2. Conflicts issues and Sixth Amendment concerns in criminal defense Problem 8-3: Police Brutality, Scene 1 Problem 8-4: Police Brutality, Scene 2 Problem 8-5: Police Brutality, Scene 3 D. Representing co-defendants in civil cases.	437 444 445 446 448 448

Florida Bar Opinion 95-4 (1997) Problem 8-6: Representing the McCarthys F. Representing insurance companies and insured persons. G. Representing employers and immigrant employees H. Representing plaintiffs in class actions I. Representing parties to aggregate settlements of individual cases	
Chapter 9: Conflicts of Interest Between Lawyers and Clients	463
A. Legal fees	465
1. Lawyer-client fee contracts	
a. Types of fee agreements	
b. Reasonable fees	
Matter of Fordham: When a fee may be considered excessive	
c. Communication about fee arrangements	
Problem 9-1: An Unreasonable Fee?	
d. Modification of fee agreements	
Problem 9-2: Rising Prices	
Patrick J. Schiltz, On Being a Happy, Healthy, and Ethical	4/9
Member of an Unhappy, Unhealthy, and Unethical Profession	481
Billing irregularities: A case study	
Lisa G. Lerman, Scenes from a Law Firm	
3. Contingent fees	
a. In general	
b. Criminal and domestic relations cases	
4. Forbidden and restricted fee and expense arrangements	507
a. Buying legal claims	
b. Financial assistance to a client	
Problem 9-3: An Impoverished Client	509
c. Publication rights	
d. Advance payment of fees and nonrefundable retainer fees	
5. Fee disputes	514
a. Prospective limitations of lawyers' liability and settlement of claims	
against lawyers	
b. Fee arbitration	
c. Collection of fees	516
d. Fees owed to a lawyer who withdraws or is fired before the matter is completed	510
6. Dividing fees with other firms or with nonlawyers	
a. Division of fees between lawyers not in the same firm	
b. Sharing fees with nonlawyers	
7. Payment of fees by a third party	
B. Lawyer as custodian of client property and documents	
Client trust accounts. 1. Client trust accounts.	
2. Responsibility for client property	
a. Prompt delivery of funds or property	
b. Disputes about money or property in lawyer's possession	
c. Lawyers' responsibilities to clients' creditors	
3 Administering estates and trusts	526

C.	Conflicts with lawyers' personal or business interests	
	1. In general	
	2. Business transactions between lawyer and client	
	3. Gifts from clients.	
	4. Sexual relationships with clients5. Intimate or family relationships with adverse lawyers	
	6. Imputation of lawyer-client conflicts to other lawyers in a firm	
	o. Imputation of lawyer-chefit conflicts to other lawyers in a firm	337
C	hapter 10: Conflicts Issues for Government Lawyers	
	and Judges	539
A.	Regulation of government lawyers and those who lobby them	
	1. The law governing lobbying: An introduction	
	2. Conflict of interest and "revolving door" statutes	
В.	Successive conflicts of former and present government lawyers	
	1. Conflicts of former government lawyers in private practice	545
	a. What is a "matter"?	
	b. Personal and substantial participation	
	c. Screening of former government lawyers	
	Conflicts of government lawyers who formerly worked outside	550
	of government	552
	Problem 10-1: The District Attorney	
	3. Conflicts of private lawyers who currently represent government agencies	
C.	Conflicts involving judges, law clerks, arbitrators, and mediators	
	1. History of judicial ethics codes in the United States	
	2. Overview of the Model Code of Judicial Conduct	558
	3. Impartiality and fairness; avoidance of bias, prejudice, and harassment	
	4. Ex parte communications and communications by a judge with third parties	
	5. Disqualification of judges	
	Problem 10-2: The Judge's Former Professor	
	6. Conflicts rules for former judges, law clerks, arbitrators, and mediators	
	a. Personal and substantial participation	
	b. Imputation.	
	c. Employment negotiation	
	7. Connects rules for lawyers currently acting as tilled party neutrals	304
C	hapter 11: Lawyers' Duties to Courts	587
A.	Being a good person in an adversary system	588
	Stephen Gillers, Can a Good Lawyer Be a Bad Person?	
В.	Investigation before filing a complaint	
	Problem 11-1: Your Visit from Paula Jones	
C.	Truth and falsity in litigation	
	1. The rules on candor to tribunals.	
	2. Which rule applies when? A taxonomy of truth-telling problems in litigation3. A lawyer's duties if a client or witness intends to give false or	599
	misleading testimony	600

a. When the lawyer knows that a criminal defendant intends to lie on	
the stand	600
Nix v. Whiteside: No Sixth Amendment right to testify falsely	600
b. The lawyer's obligations under Rule 3.3 in civil and criminal matters	602
Problem 11-2: Flight from Sudan, Scene 1	604
c. A lawyer's duties if a client intends to mislead the court without lying	608
Problem 11-3: Flight from Sudan, Scene 2	610
d. A lawyer's duties if he knows that a client has lied to a tribunal	611
e. Variations in state rules on candor to tribunals	612
4. False impressions created by lawyers during litigation	613
How Simpson Lawyers Bamboozled a Jury	614
Problem 11-4: The Drug Test	615
Problem 11-5: The Body Double	616
5. Lawyers' duties of truthfulness in preparing witnesses to provide evidence	617
D. Concealment of physical evidence and documents	621
1. Duties of criminal defense lawyers with respect to evidence of crimes	622
Problem 11-6: Child Pornography	633
2. Concealment of documents and other evidence in civil and criminal cases	634
a. A limited obligation to reveal	634
b. A lawyer's duties in responding to discovery requests	636
Ethics: Beyond the Rules	638
Problem 11-7: The Damaging Documents	642
E. The duty to disclose adverse legal authority	646
F. Disclosures in ex parte proceedings	647
G. Improper influences on judges and juries	649
1. Improper influences on judges	
a. Ex parte communication with judges	650
b. Campaign contributions	651
2. Improper influences on juries	652
a. Lawyers' comments to the press	
Narrowing restrictions on trial publicity: The Gentile case	
Scott Brede, A Notable Case of Exceptionally Unsafe Sex	
b. Impeachment of truthful witnesses	660
Harry I. Subin, The Criminal Defense Lawyer's "Different Mission":	
Reflections on the "Right" to Present a False Case	
c. Statements by lawyers during jury trials	
H. Agreements not to accept future cases	
I. Lawyers' duties in nonadjudicative proceedings	670
Chapter 12: Lawyers' Duties to Adversaries and Third Persons	673
A. Communications with lawyers and third persons	674
1. Deception of third persons	
a. The duty to avoid material false statements	674
Problem 12-1: Emergency Food Stamps	675
b. Lawyers' duties of truthfulness in fact investigation	678
The Beatles Club case	
Problem 12-2: Insurance Claims	680
c. Lawyers' duties of truthfulness in negotiation	682

xxii Contents

	d. Lawyers' duties upon receipt of inadvertently transmitted information,	
	including metadataincluding metadata	684
	2. Restrictions on contact with represented persons	
	a. Contacts in person or by telephone	
	The Messing case	
	The Cronin case	
	b. The use of social media to investigate adverse persons and others	
	3. Restrictions on contact with unrepresented persons	
	Problem 12-3: The Complaining Witness	
	4. Respect for the rights of third persons	
	Problem 12-4: The Break-In	705
	Note: Stolen documents as evidence	706
В.	Duties of prosecutors	707
	Ken Armstrong & Maurice Possley, Trial and Error, Part 1:	
	Verdict: Dishonor	708
	1. Undercover investigations	
	Problem 12-5: The Prosecutor's Masquerade	716
	2. The basis for charging a suspect	718
	3. A prosecutor's duty to reveal exculpatory evidence	719
	The Duke lacrosse case	721
	4. A prosecutor's duty with respect to unreliable evidence	723
	5. A prosecutor's duty to avoid improper pretrial publicity	727
	6. Enforcement of ethical rules against prosecutors	728
	Ellen Yaroshefsky, Wrongful Convictions: It Is Time to Take	
	Prosecution Discipline Seriously	
C.	Conduct prejudicial to the administration of justice	
	Problem 12-6: A Letter of Commendation	
D.	. Are lawyers really too zealous?	734
	Ted Schneyer, Moral Philosophy's Standard Misconception	
	of Legal Ethics	735
C	hapter 13: The Changing Landscape of Law Practice	737
A.	. Unauthorized practice of law: Who can provide legal services	
	1. Prohibition of unauthorized practice of law by nonlawyers	
	Problem 13-1: Special Education	
	2. Restrictions on multistate practice by lawyers	
	3. Programs allowing nonlawyers to provide some legal assistance	
	a. Limited license legal technicians	
	b. Courthouse navigators	
	c. Legal document assistants	
_	4. New providers of legal services	
В.	Getting business: Advertising and solicitation	
	1. Advertising of legal services	
	Bates v. State Bar of Arizona	
	2. Solicitation of clients	
_	Problem 13-2: Traffic Crimes	
	Multidisciplinary practice	
D.	Financing law practice	
	I I HIGHION THANCE: NONIAWVER HINGING OF LAWSHIFS	777

F. G.	Globalization of law practice
Cl	hapter 14: Access to Justice: The Lawyer's Role 793
A. B.	The unmet need for legal services
C.	accounts 814 3. Fee-shifting statutes 816 a. Fee waiver as a term of a settlement: Evans v. Jeff D 816 b. Who is a "prevailing party" entitled to attorneys' fees? 818 4. Conflicts in public interest litigation 819 Problem 14-2: The Prisoners' Dilemma 820 Pro bono representation 821
	Problem 14-3: Mandatory Pro Bono Service. 829 Loan forgiveness and scholarships for public service lawyers 829 A concluding problem. 833 Problem 14-4: The Future of the Legal Profession 833
Та	out the Authors

Index......857

xxiii

Contents