

|   |            |
|---|------------|
| <b>Preface</b>  | <b>xxi</b> |
| <b>Acknowledgments</b>  | <b>xxv</b> |
| <br>  |            |
| <b>PART I      INTRODUCTION</b>                                       | <b>1</b>   |
| <b>Chapter 1    Lawyers, Role, and Law</b>                            | <b>3</b>   |
| A. Lawyers and Role   | 3          |
| Lawyers' Roles: <i>The Client-Lawyer Relationship</i>                 | 3          |
| Freedman & Smith, Understanding<br>Lawyers' Ethics                    | 7          |
| Rhode, In the Interests of Justice: Reforming<br>the Legal Profession | 9          |
| Problems  | 14         |
| B. Lawyers and Law  | 14         |
| The Law Governing Lawyers: <i>Sources of Law</i>                      | 14         |
| Problem   | 17         |
| <br>  |            |
| <b>Chapter 2    Judicial Regulation of Lawyers</b>                    | <b>19</b>  |
| A. Judicial Regulation of the Practice of Law                         | 19         |
| B. Bar Admission  | 20         |
| <i>In re Application of Converse</i>                                  | 21         |
| Afterword   | 25         |
| Problem   | 25         |
| C. Professional Discipline  | 26         |
| The Law Governing Lawyers: <i>Professional Discipline</i>             | 26         |
| <i>Matter of Guiliani</i>   | 29         |
| Afterword   | 35         |
| Problems  | 35         |
| <br>  |            |
| <b>PART II      LAWYERS AND CLIENTS: FIDUCIARY DUTY</b>               | <b>37</b>  |
| <b>Chapter 3    Beginning the Client-Lawyer Relationship</b>          | <b>39</b>  |
| A. Actual and Implied Client-Lawyer Relationships                     | 39         |

|   |           |
|---|-----------|
| The Law Governing Lawyers: <i>Identifying Clients</i>                     | 39        |
| Problems  | 43        |
| <i>Togsdad v. Veseley, Otto, Miller &amp; Keefe</i>                       | 44        |
| Afterword   | 47        |
| Problem   | 49        |
| B. Access to Justice  | 49        |
| Lawyers and Clients: <i>Service Pro Bono Publico</i>                      | 49        |
| Problems  | 55        |
| C. Unpopular Clients  | 55        |
| Problems  | 55        |
| <br>  |           |
| <b>Chapter 4    Competence</b>  | <b>57</b> |
| A. Knowledge, Skill, Thoroughness, and Preparation                        | 57        |
| <i>Nebraska ex rel. Counsel for Discipline of the Nebraska</i>            |           |
| <i>Supreme Court v. Orr</i>   | 57        |
| Afterword   | 60        |
| Problem   | 61        |
| B. Malpractice and Breach of Fiduciary Duty                               | 61        |
| <i>Bayview Loan Servicing, LLC v. Law Firm of Richard M. Squire &amp;</i> |           |
| <i>Associates, LLC</i>  | 61        |
| Problems  | 64        |
| The Law Governing Lawyers: <i>Tort Liability</i>                          | 64        |
| C. Nonclient Duties   | 71        |
| <i>Greycas, Inc. v. Proud</i>   | 71        |
| Afterword   | 75        |
| Problem   | 75        |
| <br>  |           |
| <b>Chapter 5    Control and Communication</b>                             | <b>77</b> |
| A. Control  | 78        |
| 1. Authority Between Client and Lawyer                                    | 78        |
| 2. Authority of Lawyer to Act for Client                                  | 79        |
| <i>Machado v. Statewide Grievance Committee</i>                           | 81        |
| Problem   | 83        |
| 3. Authority in Representing Organizations                                | 83        |
| Problem   | 83        |
| 4. Authority in Representing Clients with Diminished Capacity             | 84        |
| Problem   | 84        |
| B. Communication  | 84        |

|  |             |
|--|-------------|
| <b>Contents</b>  | <b>xiii</b> |
| <i>dePape v. Trinity Health Systems, Inc.</i>  | 86          |
| Problems   | 93          |
| C. Abandonment   | 93          |
| <i>Maples v. Thomas</i>  | 94          |
| Lawyers and Clients: <i>Criminal Defense</i>   | 99          |
| Problems   | 105         |
| <b>Chapter 6 Confidentiality</b>   | <b>107</b>  |
| A. Introduction  | 107         |
| B. Confidentiality: Model Rules and Fiduciary Duty   | 108         |
| ABA Formal Opinion 480: Confidentiality Obligations for<br>Lawyer Blogging and Other Public Commentary | 108         |
| <i>Matter of Anonymus</i>  | 111         |
| Problems   | 113         |
| <i>Perez v. Kirk &amp; Carrigan</i>  | 114         |
| Afterword  | 117         |
| Lawyers' Roles: <i>The Directive Lawyer and Fiduciary Duty</i>   | 117         |
| Problem  | 120         |
| C. Informed Consent or Implied Authorization   | 121         |
| <i>In re Pressly</i>   | 121         |
| Problem  | 123         |
| 1. Organization Clients  | 123         |
| Problem  | 123         |
| 2. Clients with Diminished Capacity  | 123         |
| Problem  | 123         |
| D. Evidentiary Protections: Attorney-Client Privilege and Work-Product<br>Immunity                     | 124         |
| The Bounds of the Law: <i>Court Orders</i>   | 124         |
| <i>Dean v. Dean</i>  | 126         |
| Problem  | 128         |
| <i>Upjohn Co. v. United States</i>   | 128         |
| Problem  | 131         |
| Lawyers and Clients: <i>Representing Organizations</i>   | 132         |
| <i>Swidler &amp; Berlin v. United States</i>   | 136         |
| Problem  | 139         |
| E. Attorney-Client Privilege and Work-Product Waiver   | 139         |
| Problems   | 139         |

|                  |  |            |
|------------------|--|------------|
| <b>Chapter 7</b> | <b>Confidentiality Exceptions: Physical and Financial Injury</b>                               | <b>141</b> |
| A.               | Introduction   | 141        |
| B.               | Physical Harm  | 142        |
|                  | <i>Spaulding v. Zimmerman</i>  | 142        |
|                  | Afterword  | 145        |
|                  | Problems   | 146        |
|                  | <i>Hawkins v. King County</i>  | 146        |
|                  | Afterword  | 148        |
|                  | Problems   | 149        |
| C.               | Financial Harm   | 149        |
|                  | The Bounds of the Law: <i>Fraud</i>  | 149        |
|                  | Ohio Board of Professional Conduct: Opinion 2020-03  | 154        |
|                  | <i>In re American continental Corporation/Lincoln Savings &amp; Loan Securities Litigation</i> | 157        |
|                  | Afterword  | 161        |
|                  | Problems   | 163        |
| D.               | Privilege and Work Product: Client Crime or Fraud  | 163        |
|                  | <i>Purcell v. District Attorney for the Suffolk District</i>                                   | 163        |
|                  | <i>United States v. Chen</i>   | 165        |
|                  | Problems   | 169        |
|                  | Lawyers' Roles: <i>The Instrumental Lawyer and the Bounds of the Law</i>                       | 170        |
| <b>Chapter 8</b> | <b>Confidentiality Exceptions: Lawyer Interests and Compliance with Other Law</b>              | <b>175</b> |
| A.               | Introduction   | 175        |
| B.               | Seeking Advice, Self-Defense, and Compensation Disputes  | 176        |
|                  | ABA Formal Opinion 496: Responding to Online Criticism   | 176        |
|                  | Problems   | 180        |
| C.               | Compliance with Law or Court Order: Physical Evidence  | 180        |
|                  | The Bounds of the Law: <i>Crime</i>  | 181        |
|                  | New York Penal Law (2016)  | 186        |
|                  | <i>People v. Belge</i>   | 186        |
|                  | Afterword  | 188        |
|                  | Problems   | 189        |
| D.               | Compliance with Law or Court Order: Practice Before a Tribunal                                 | 190        |
|                  | Problem  | 190        |
|                  | 1. Representations of Fact and Law   | 190        |
|                  | <i>People v. Casey</i>   | 190        |
|                  | Problem  | 192        |

|  |            |
|--|------------|
| <b>Contents</b>  | <b>xv</b>  |
| 2. Failure to Disclose Facts   | 192        |
| <i>In re Forrest</i>   | 192        |
| Problems   | 195        |
| 3. Failure to Disclose Law   | 195        |
| <i>Matter of Hendrix</i>   | 195        |
| Problem  | 196        |
| 4. False Evidence  | 197        |
| Supreme Court of Arizona Attorney Ethics Advisory<br>Committee Ethics Opinion EO-20-0007 | 197        |
| Problems   | 202        |
| 5. Criminal Defense  | 202        |
| Problem  | 202        |
| E. Detecting Conflicts of Interest   | 203        |
| Problem  | 203        |
| Lawyers' Roles: <i>Zealous Representation Within the Bounds of the Law</i>               | 203        |
| <br>   |            |
| <b>Chapter 9 Conflicts of Interest: Loyalty and Independent Judgment</b>                 | <b>207</b> |
| A. Introduction  | 208        |
| 1. Conflict of Interest Identification   | 210        |
| <i>In re Rachal</i>  | 210        |
| 2. Conflict of Interest Remedies   | 212        |
| <i>Maritrans GP Inc. v. Pepper, Hamilton &amp; Scheetz</i>                               | 212        |
| Problem  | 214        |
| The Law Governing Lawyers: <i>Losing a Client by Disqualification or Injunction</i>      | 215        |
| B. Joint Representations   | 217        |
| 1. Litigation Co-Parties   | 218        |
| <i>Johnson v. Clark Gin Service, Inc.</i>  | 218        |
| Problem  | 221        |
| 2. Employer and Employee   | 221        |
| Problem  | 221        |
| 3. Real Estate Transactions  | 222        |
| <i>Anderson v. O'Brien</i>   | 222        |
| Problem  | 225        |
| 4. Business Planning   | 225        |
| Problem  | 225        |
| 5. Estate Planning   | 225        |
| <i>A. v. B.</i>  | 225        |
| Problem  | 229        |

|  |            |
|--|------------|
| 6. Joint Criminal Defense  | 229        |
| Problem  | 229        |
| 7. Divorce and Dissolution   | 229        |
| Problem  | 229        |
| C. Simultaneous Representation of Adversaries  | 229        |
| <i>Western Sugar Coop. v. Archer-Daniels-Midland Co.</i>                                 | 230        |
| Problem  | 233        |
| D. Positional Conflicts  | 233        |
| Problem  | 233        |
| <br>   |            |
| <b>Chapter 10 Conflicts of Interest: Specific Rules</b>                                  | <b>235</b> |
| A. Introduction  | 235        |
| B. Client and Lawyer Interests   | 236        |
| 1. Business Transactions with Clients  | 237        |
| <i>Liggett v. Young</i>  | 237        |
| District of Columbia Ethics Opinion 382: Lawyer-Directors<br>Representing Entity-Clients | 239        |
| Problem  | 244        |
| 2. Gifts   | 245        |
| Problem  | 245        |
| 3. Media Rights  | 245        |
| Problem  | 245        |
| 4. Litigation Funding  | 245        |
| Problems   | 245        |
| 5. Aggregate Settlements   | 245        |
| <i>Burrow v. Arce</i>  | 245        |
| Problem  | 250        |
| The Law Governing Lawyers: <i>Loss of Fee or Other Benefits</i>                          | 250        |
| 6. Limiting Lawyer Liability   | 254        |
| Problem  | 254        |
| 7. Lawyer Proprietary Interest in Litigation   | 254        |
| Problem  | 254        |
| 8. Sexual Relationships with Clients   | 255        |
| <i>Iowa Supreme Court Attorney Disciplinary Board v. Monroe</i>                          | 255        |
| Problem  | 258        |
| 9. Close Personal Relationships  | 258        |
| Problem  | 258        |
| C. Client and Third-Person Interests   | 258        |
| Problem  | 258        |

|   |             |
|---|-------------|
| <b>Contents</b>   | <b>xvii</b> |
| D. Insurance Defense  | 259         |
| <i>Paradigm Insurance Co. v. The Langerman Law Offices, P.A.</i>                                  | 259         |
| Lawyers and Clients: <i>Insurance Defense</i>   | 262         |
| Problem   | 268         |
| <br>  |             |
| <b>Chapter 11 Conflicts of Interest: Former, Prospective, Imputed,<br/>and Government Clients</b> | <b>269</b>  |
| A. Introduction   | 269         |
| B. Former Client Conflicts  | 271         |
| Rhode Island Supreme Court Ethics Advisory Panel Opinion<br>No. 2004-06                           | 271         |
| <i>Western Sugar Coop. v. Archer-Daniels-Midland Co.</i>  | 273         |
| Problems  | 275         |
| C. Prospective Client Conflicts   | 276         |
| <i>Keuffer v. O.F. Mossberg &amp; Sons, Inc.</i>  | 276         |
| Problems  | 278         |
| D. Imputed Client Conflicts   | 278         |
| <i>Prentice v. OfficeMax North America, Inc.</i>  | 284         |
| Fox, My Lawyer Switched Sides; Don't Worry, There's a Screen<br>Problem                           | 286<br>288  |
| E. Imputation in Nonprofit and Court-Annexed Limited Legal Services<br>Programs                   | 288<br>288  |
| Problem   | 288         |
| F. Government Client Conflicts  | 289         |
| Lawyers and Clients: <i>Representing Governments</i>  | 289         |
| Problem   | 297         |
| G. Adjudicators, Arbitrators, and Mediators   | 297         |
| Problem   | 297         |
| <br>  |             |
| <b>Chapter 12 Fees and Client Property</b>  | <b>299</b>  |
| A. Introduction   | 299         |
| B. Hourly Fees  | 301         |
| ABA Formal Opinion 93-379: Billing for Professional Fees,<br>Disbursements, and Other Expenses    | 301<br>304  |
| <i>Matter of Fordham</i>  | 304         |
| Fox, End Billable Hour Goals. . . Now   | 307         |
| Problems  | 309         |
| C. Contingent Fees  | 310         |
| ABA Formal Opinion 94-389: Contingent Fees  | 310         |

|                   |  |            |
|-------------------|--|------------|
|                   | <i>In re Everett E. Powell, II</i>   | 312        |
|                   | Afterword  | 315        |
|                   | Problems   | 315        |
| D.                | Fixed Fees   | 316        |
|                   | <i>In re Sather</i>  | 318        |
|                   | Afterword  | 321        |
|                   | Problems   | 321        |
| E.                | Fees on Termination  | 322        |
|                   | <i>Malonis v. Harrington</i>   | 322        |
|                   | Problem  | 325        |
| F.                | Statutory Fees   | 325        |
|                   | <i>Perdue v. Kenny A.</i>  | 326        |
|                   | Afterword  | 331        |
|                   | Problem  | 331        |
| <b>Chapter 13</b> | <b>Ending the Client-Lawyer Relationship</b>   | <b>333</b> |
| A.                | Mandatory Withdrawal   | 333        |
|                   | Formal Opinion 2017-100: Lawyer's Ethical Duties in<br>Representing a Fiduciary Client Whose Conduct May Harm<br>or Has Harmed Beneficiaries | 334        |
|                   | Problems   | 336        |
| B.                | Voluntary Withdrawal   | 337        |
|                   | <i>Gilles v. Wiley, Malehorn &amp; Sirota</i>  | 337        |
|                   | Problem  | 341        |
| C.                | Wrongful Discharge   | 341        |
|                   | <i>Wadler v. Bio-Rad Laboratories, Inc.</i>  | 343        |
|                   | Afterword  | 345        |
|                   | Problems   | 345        |
| D.                | Finding New Employment   | 346        |
|                   | Formal Ethics Opinion No. 116: Ethical Considerations in the<br>Dissolution of a Law Firm or a Lawyer's Departure from a<br>Law Firm         | 346        |
|                   | Problem  | 352        |
| <b>PART III</b>   | <b>LAWYERS AND JUSTICE: THE LIMITS<br/>OF ADVOCACY</b>   | <b>353</b> |
| <b>Chapter 14</b> | <b>The Bounds of the Law</b>   | <b>355</b> |
| A.                | Introduction   | 355        |
|                   | The Bounds of the Law: <i>A Reprise</i>  | 355        |



|   |            |
|---|------------|
| <b>Contents</b>   | <b>xix</b> |
| <i>Matter of Robert L. Rimberg</i>  | 360        |
| Problems  | 361        |
| B. Rules of Civil Procedure   | 362        |
| <i>King v. Whitmer</i>  | 362        |
| Afterword   | 371        |
| Problems  | 371        |
| C. Bias   | 372        |
| <i>In re Charges of Unprofessional Conduct Contained in Panel<br/>    Case No. 15976</i>          | 372        |
| Problem   | 374        |
| D. Communication with Judges and Jurors   | 374        |
| <i>Disciplinary Counsel v. Stuard</i>   | 374        |
| Problem   | 376        |
| E. Lawyer as Witness  | 377        |
| <i>Neumann v. Tuccio</i>  | 377        |
| Problem   | 379        |
| F. Communication with Unrepresented and Represented Clients and<br>Nonclients                     | 379        |
| Problems  | 379        |
| <i>Messing, Rudavsky &amp; Weliky, P.C. v. President &amp; Fellows of<br/>    Harvard College</i> | 380        |
| Problems  | 382        |
| <br>  |            |
| <b>PART IV LAWYERS AND SOCIETY: THE PROFESSION</b>  | <b>383</b> |
| <b>Chapter 15 Professional Regulation</b>   | <b>385</b> |
| A. Self-Regulation  | 385        |
| KBA E-430: A Lawyer's Duty to Report Professional<br>Misconduct of Other Lawyers and Judges       | 385        |
| Problems  | 390        |
| B. Law Practice Restrictions  | 390        |
| <i>State ex rel. Verizon West Virginia, Inc. v. Matish</i>  | 390        |
| Problems  | 393        |
| C. Advertising and Solicitation   | 393        |
| <i>Florida Bar v. Went For It, Inc.</i>   | 393        |
| Problems  | 398        |
| L.E.O. 2015-02: Social Media and Attorneys  | 398        |
| The Bounds of the Law: <i>The Constitution</i>  | 402        |
| D. Multijurisdictional and Multidisciplinary Practice   | 406        |

|   |            |
|---|------------|
| 1. Multijurisdictional Practice   | 406        |
| ABA Formal Opinion 495: Lawyers Working Remotely                          | 407        |
| Problem   | 409        |
| 2. Multidisciplinary Practice   | 409        |
| Problems  | 412        |
| <br>  |            |
| <b>Chapter 16 Judicial Ethics</b>   | <b>413</b> |
| A. Introduction   | 413        |
| 1. The Judge's Role   | 413        |
| 2. Sources of Law   | 413        |
| 3. Procedural Remedies  | 414        |
| Problem   | 415        |
| B. Judicial Behavior  | 415        |
| <i>Law Offices of Herssein and Herssein v. United Services Automobile</i> |            |
| <i>Association</i>  | 418        |
| Problem   | 423        |
| <i>Williams v. Pennsylvania</i>   | 424        |
| Afterword   | 429        |
| Problem   | 430        |
| C. Judicial Selection   | 430        |
| Problems  | 431        |
| <br>  |            |
| <b>Table of Cases</b>   | <b>433</b> |
| <b>Table of Model Rules, Restatements, and Other Regulations</b>          | <b>441</b> |
| <b>Index</b>  | <b>453</b> |