

# Index

## **ACC (ASSOCIATION OF CORPORATE COUNSEL)**

List of states authorizing non-locally licensed in-house counsel, chart, **App 3-1**

## **ACCOUNTANTS**

Privileged communications with, **§ 1:6**  
Sarbanes-Oxley Act liabilities, **§ 7:4**

## **ADVERSE COUNSEL**

Represented Party Contacts, this index

## **ADVICE, DUTY TO OFFER**

Generally, **§ 3:13**

## **ADVICE OF COUNSEL DEFENSE**

Attorney-client privilege and, **§ 1:25, 6:18**

## **AFFILIATED CORPORATIONS**

See also Parent and Subsidiary Corporations, this index  
Partners and coventurers, duties to, **§ 3:15**

## **AGENTS**

Aiding and abetting liability, **§ 5:6**  
Confidentiality duties, **§ 3:11**  
Corporate  
  Authority to communicate with counsel, **§ 1:2**  
  Bright-line tests of authority, **§ 1:3**  
  Control group test of authority, **§ 1:2**  
  Criminal liability, **§ 5:2, 5:5**  
  Individual liability for corporate crimes, **§ 5:6**  
  Privileged communications with, **§ 1:6**  
  Scope of employment test of authority, **§ 1:3**  
  Subject matter test of authority, **§ 1:3**

## **AGENTS—Cont'd**

Corporate—Cont'd  
  Subsidiaries, employees of, **§ 1:3**  
  Upjohn test of authority, **§ 1:3**  
Counsel's  
  Corporation's agents distinguished, **§ 1:6, 1:7**  
  Represented party contacts through, **§ 3:25**  
  Retainer letter privilege provision, **App 1-3**  
  Vicarious liabilities, **§ 3:30**  
Criminal liability of corporations for conduct of agents, **§ 5:2, 5:5**  
Due care duties, **§ 3:7**  
Non-employment agents, communications with, **§ 1:3**  
Opinions of, work product doctrine protection, **§ 2:2**  
Patent, privileged communications with, **§ 1:6, 1:19**  
Represented party contacts through, **§ 3:25**  
Scope of employment, agent's criminal acts in, **§ 5:5**  
Work product doctrine, **§ 2:2**

## **ARBITRATION**

Work product doctrine, **§ 2:8**

## **ASSOCIATION OF CORPORATE COUNSEL (ACC)**

List of states authorizing non-locally licensed in-house counsel, chart, **App 3-1**

## **AT-ISSUE DOCTRINE**

Attorney-client privilege, **§ 1:25**  
Work product, **§ 2:14**

## **ATTORNEY-CLIENT PRIVILEGE**

Generally, **§ 1:1 et seq.**  
Accountants, communications with, **§ 1:6**

## ATTORNEY-CLIENT PRIVILEGE

### —Cont'd

Admonitions to employees in confidential communications, § 1:12, App 1-1

Advice of counsel defense, § 6:18

Agents of counsel, communications with, § 1:6, 1:7

At-issue doctrine, § 1:25

Attorney status determinations, § 1:5 et seq.

Authority to waive, § 1:22

Background information, scope of, § 1:8

Bankruptcy trustee, assertion or waiver by, § 1:22

Bar membership, maintenance of, § 1:5

Burden of establishing confidentiality of communications, § 1:12

Business advice, § 1:1

Business information required to provide legal advice, § 1:16

Business vs legal advice, § 1:16

Cc copies to counsel, § 1:16

Choice of law, § 1:1

Clients protected, § 1:2

Common interest disclosures and confidentiality, § 1:14

Common interest doctrine, § 1:4

Communication with counsel

Generally, § 1:8

Cc copies, § 1:16

Confidential communications, below

Dominant purpose of, § 1:10

Purpose of communication, below

Concealment as intent of communicator, § 1:1, 1:5

Confidential communications

Generally, § 1:8 et seq.

Admonitions to employees, § 1:12, App 1-1

Background information, scope of, § 1:8

Burden of establishing, § 1:12

Common interest disclosures, § 1:14

## ATTORNEY-CLIENT PRIVILEGE

### —Cont'd

Confidential communications

—Cont'd

Corporate communications and, § 1:12

Dominant purpose of communication, § 1:10

Electronic communications, § 1:13

Expectation of, § 1:10

Filing of confidential documents, § 1:13

Implied requests for legal advice, § 1:8

Intent and, § 1:8, 1:10

Intercompany disclosures, § 1:12

Intermediaries, communications via, § 1:7

Labeling of privileged materials, § 1:12, 1:13

Meetings, admonitions at, § 1:12

Multiple-purpose statements, § 1:11

Need to know standard, § 1:12

Parent-subsidiary corporate communications and, § 1:12

Presumptions, § 1:9

Public filings, communications intended for use in, § 1:11

Scope of communication, § 1:8

Segregation of privileged materials, § 1:13

Storage of privileged materials, § 1:12

Third-party auditors, § 1:12

Consultants, communications with, § 1:3

Control group test of corporate agent's authority, § 1:2

Corporate clients

Generally, § 1:2 et seq.

Duty of counsel to assert privilege, § 1:22

Purpose of privilege, applicability, § 1:1

Who may waive or assert privilege, § 1:22

Corporate communications and confidential communications, § 1:12

## INDEX

### ATTORNEY-CLIENT PRIVILEGE

#### —Cont'd

- Corporations, extension of privilege to, § 1:1
- Counsel's authority to waive, § 1:22
- Crime-fraud exception, § 1:26
- Criminal defense by outside counsel, § 5:9
- Criminal defense conflicts, § 6:21
- Decision-makers, communications with, § 1:3, 1:7
- Deliberate disclosure, waiver by, § 1:24
- Derivative actions, § 1:1, 1:27, 3:10
- Disclosure and waiver, § 1:21
- Documents, § 1:8
- Dominant purpose of communication, § 1:10
- Draft documents, review of, § 1:16
- Duty of counsel to assert privilege, § 1:22
- Electronic communications, confidentiality of, § 1:13
- Elements of privilege, § 1:1
- Employee interviews during investigations, § 1:3
- Employee-attorneys
  - Generally, § 1:5
  - Accountants, communications with, § 1:6
  - Agents of counsel, communications with, § 1:6, 1:7
  - Concealment as intent of communicator, § 1:5
  - Decision-makers, communications with, § 1:7
  - Employees, communications with, § 1:7
  - Experts, communications with, § 1:6
  - Intent of communicator, § 1:5
  - Intermediaries, communications via, § 1:7
  - Investigations, § 1:18
  - Investigators, communications with, § 1:6
  - Investigatory functions of in-house counsel, § 1:8
  - Necessary communications, § 1:8

### ATTORNEY-CLIENT PRIVILEGE

#### —Cont'd

- Employee-attorneys—Cont'd
  - Purpose of communication, § 1:15 **et seq.**
  - Purpose of privilege, applicability, § 1:1
- Employees, communications with, § 1:7
- Employees with special knowledge, § 1:3
- Expectation of confidentiality, § 1:10
- Experts, communications with, § 1:6
- Fact/communication distinction, § 1:8
- Federal courts, § 1:1
- Filing of confidential documents, § 1:13
- Former employees, communications with, § 1:3
- Former officers' right to assert, § 1:22
- Future conduct and crime-fraud exception, § 1:26
- Garner doctrine, § 1:27
- Good cause challenges, § 1:1
- Implied requests for legal advice, § 1:8
- Implied waiver, § 1:21, 1:23
- In-issue doctrine, § 1:25
- Intent and confidentiality of communications, § 1:8, 1:10
- Intent of communicator with in-house counsel, § 1:5
- Intercompany disclosures and confidential communications, § 1:12
- Intermediaries, communications via, § 1:7
- Investigations
  - Generally, § 1:18
  - Functions of in-house counsel, § 1:8
- Interviews
  - Generally, § 1:3
  - Admonition memorandum, **App 5-5**
- Privilege admonitions, § 1:4

**ATTORNEY-CLIENT PRIVILEGE**  
—Cont'd

- Investigators, communications with, § 1:6
- Joint defense arrangements, § 1:4
- Joint representation of corporation and employees, § 1:4
- Labeling of privileged materials, § 1:12, 1:13
- Legal vs business advice, § 1:16
- Legal vs personal advice, § 1:17
- Litigation supervision, § 4:3
- Loss of privilege
  - Generally, § 1:21 et seq.
  - See also Loss of Privileges, this index
  - Crime-fraud exception, § 1:26
  - Deliberate disclosure, § 1:24
  - Derivative actions, § 1:27, 3:10
  - Discovery procedures and inadvertent disclosures, § 1:23
  - Garner doctrine, § 1:27
  - Inadvertent waiver, § 1:23, App 1-4
  - Negotiations, disclosures made during, § 1:24
  - Regulatory agencies, disclosures to, § 1:24
  - Selective disclosure, § 1:21
- Low level employees with special knowledge, § 1:3
- Manipulation challenges, § 1:1
- Multi-jurisdictional practice, ethical issues, § 3:2
- Multiple-purpose statements and confidentiality requirements, § 1:11
- Necessary communications, § 1:8
- Negotiation vs review of contract terms, § 1:16
- Notice to corporate employees of status, App 1-1
- Outside attorneys, employee communications with, § 1:3
- Outside counsel
  - Generally, § 1:3
  - Criminal defense, § 5:9

**ATTORNEY-CLIENT PRIVILEGE**  
—Cont'd

- Parent-subsidary corporate communications and confidentiality, § 1:12
- Patent agents, communications with, § 1:6, 1:19
- Personal nature of privilege, § 1:1
- Personal vs legal advice, § 1:17
- Predictability of treatment of corporate clients, § 1:1
- Predominate purpose of communication, § 1:16
- Presumptions of confidentiality, § 1:9
- Primary purpose of communication, § 1:16
- Private attorneys, employee communications with, § 1:3
- Property rights in privileged documents, § 6:16
- Prosecutors' attacks on, § 6:18
- Public filings, communications intended for use in, § 1:11
- Public policy challenges, § 1:1
- Public relations advice, § 1:6
- Purpose of communication
  - Generally, § 1:15 et seq.
  - Business information required to provide legal advice, § 1:16
  - Business vs legal advice, § 1:16
  - Cc copies to counsel, § 1:16
  - Dual roles of in-house counsel, § 1:15
  - Investigations, § 1:18
  - Legal vs business advice, § 1:16
  - Legal vs personal advice, § 1:17
  - Negotiation vs review of contract terms, § 1:16
  - Patent work, § 1:19
  - Personal vs legal advice, § 1:17
  - Predominate purpose test, § 1:16
  - Primary purpose test, § 1:16
  - Review by counsel of draft documents, § 1:16
  - Tax matters, § 1:16, 1:20
- Purposes of privilege, § 1:1
- Represented Party Contacts, this index

## INDEX

### ATTORNEY-CLIENT PRIVILEGE

#### —Cont'd

- Review by counsel of draft documents, § 1:16
- Sarbanes-Oxley Act conflicts, § 8:9, 8:11
- Scope of confidential communication, § 1:8
- Scope of employment test of corporate agent's authority, § 1:3
- Scope of privilege. Purpose of communication, above
- Segregation of privileged materials, § 1:13
- Storage of privileged materials, § 1:12
- Subject matter test of corporate agent's authority, § 1:3
- Subpoenas of corporate counsel, § 6:18
- Subsidiaries, communications with employees of, § 1:3
- Sword and shield doctrine, § 1:25
- Tax matters, § 1:16, 1:20
- Third-party attorneys, employee communications with, § 1:3
- Third-party auditors and confidential communications, § 1:12
- Trustee in bankruptcy, assertion of waiver by, § 1:22
- Unsolicited advice from counsel, § 1:8
- Unsolicited information from corporate employees, § 1:3
- Upjohn test of corporate agent's authority, § 1:3
- Up-the-ladder reporting conflicts, § 8:9, 8:11
- Waiver
  - Generally, § 1:21 et seq.
  - See also Waiver of Privilege, this index
  - Advice of counsel claims, § 1:25
  - Advice of counsel defense, § 6:18
  - At-issue doctrine, § 1:25
  - Authority to waive, § 1:22
  - Bankruptcy trustee, waiver by, § 1:22

### ATTORNEY-CLIENT PRIVILEGE

#### —Cont'd

- Waiver—Cont'd
  - Counsel's authority to waive, § 1:22
  - Crime-fraud exception, § 1:26
  - Delayed assertion of waiver, § 1:21
  - Deliberate disclosure, § 1:24
  - Derivative actions, § 1:27, 3:10
  - Disclosure and, § 1:21
  - Discovery procedures and inadvertent disclosures, § 1:23
  - Garner doctrine, § 1:27
  - Implied waiver, § 1:21, 1:23
  - Inadvertent waiver, § 1:23, App 1-4
  - In-issue doctrine, § 1:25
  - Negotiations, disclosures made during, § 1:24
  - Parent and subsidiary, § 1:22
  - Proof of, § 1:21
  - Regulatory agencies, disclosures to, § 1:24, 2:12
  - Scope of waiver, § 1:21
  - Selective disclosure, § 1:21
  - Sword and shield doctrine, § 1:25
  - Trustee in bankruptcy, waiver by, § 1:22
  - Who may assert, § 1:22
  - Who may waive, § 1:22
- Waiver and loss of privilege, Placing the attorney-client relationship at issue, § 1:25
- Warnings to employee targets of investigations, § 1:4
- Whistleblower claims by discharged counsel, § 6:11
- Who may waive, § 1:22
- Work product doctrine distinguished, § 2:1

### ATTORNEY-CLIENT RELATIONSHIPS

- Corporations as Clients, this index
- Employers as Clients, this index
- Outside Counsel, this index

### AUDIT RECORDS

- See Sarbanes-Oxley Act, this index

**AUTHORITY**

- See also Agents, this index
- Bright-line tests, § 1:3
- Control group test of corporate agent's authority, § 1:2
- Directors, privilege waiver authority of, § 1:4
- Officers, privilege waiver authority of, § 1:4
- Scope of employment test of corporate agent's authority, § 1:3
- Subject matter test of corporate agent's authority, § 1:3
- Upjohn test of corporate agent's authority, § 1:3

**BANK SECRECY ACT**

- Reporting obligations, § 5:20

**BAR MEMBERSHIP**

- See License Requirements, this index

**BOARDS OF DIRECTORS**

- See Directors, this index

**BUSINESS ENTITIES**

- Generally, § 3:15
- Close corporations, § 3:16
- Corporations as Clients, this index
- Management-Ownership Conflicts, this index

**BUYOUTS**

- See Control Contests, this index

**CARE DUTIES**

- Attorney-directors, § 6:23
- Up-the-ladder reporting of violations, § 8:3

**CEASE AND DESIST ORDERS**

- Generally, § 6:12
- Sarbanes-Oxley Act, § 8:7

**CERTIFICATION OF RECORDS**

- See Sarbanes-Oxley Act, this index

**CHIEF LEGAL OFFICERS (CLO)**

- Affirmative duties under Sarbanes-Oxley, § 8:3
- Qualified legal compliance committees (QLCC), reports to, § 8:6

**CHIEF LEGAL OFFICERS (CLO)**

—Cont'd

- Sarbanes-Oxley responsibilities, § 8:6
- Supervisor status under securities laws, § 6:12
- Up-the-ladder reporting
  - Generally, § 8:1 et seq.
  - Reports to, § 8:4

**CHOICE OF LAW**

- See also Conflicts of Law, this index
- Attorney-client privilege, § 1:1
- Crime-fraud exception, § 1:26
- Disciplinary authority, § 3:2
- Inadvertent disclosure and loss of privilege, § 1:23
- Tribunal trumps principle, § 3:2
- Work product doctrine, § 2:1

**CLIENT RELATIONSHIPS**

- Corporations as Clients, this index
- Employers as Clients, this index
- Outside Counsel, this index

**CLOSE CORPORATIONS**

- Generally, § 3:16

**COMMON INTEREST DOCTRINE**

- Privileges, § 1:4

**COMPETITORS**

- Ethical concerns, § 3:34

**COMPLIANCE PROGRAMS**

- Generally, § 5:30
- See also Criminal Proceedings, this index
- Sentencing guideline incentives, § 5:1

**COMPUTER FILES**

- See Electronic Records, this index

**CONFIDENTIALITY**

- Generally, § 3:11
- See also Disclosures, this index
- Agency law, § 3:11
- Agreements, employee, § 1:3
- Bodily harm exception, § 3:11
- Common interest disclosures, § 1:14

## INDEX

### CONFIDENTIALITY—Cont'd

- Counsel sued by corporation, obligations of, § 6:3
- Crime prevention duties of counsel
  - Generally, § 6:17
  - Sarbanes Oxley Act, § 8:9
- Criminal defense conflicts, § 6:21
- Criminal matter investigations
  - Generally, § 5:11
  - Notice to employees of pending investigation, App 5-2
- Deliberate disclosure, waiver or loss of privilege by, § 1:24, 2:12
- Discrimination law conflicts, § 6:9
- Documents, corporate, taking on termination of employment, § 6:16
- Electronic communications, § 1:13
- Employed counsel duties and at-will status, § 6:6
- Employee confidentiality agreements, § 1:3
- Employees, disclosures to, § 3:11
- Ethical implications of duty of, § 3:11
- Filing of confidential documents, § 1:13
- Fraud prevention duties of counsel
  - Generally, § 6:17
  - Sarbanes Oxley Act, § 8:9
- Inadvertent disclosure and waiver of privilege, § 1:23, 2:11, App 1-4
- Intercompany disclosures and confidential communications with counsel, § 1:12
- Investigations
  - Confidentiality admonitions, § 1:4
  - Criminal matters, § 5:11
- Litigants, post employment representation of, § 6:15
- Management-ownership conflicts, § 3:7
- Meetings, admonitions at, § 1:12
- Model Rules, § 6:21
- Need to know standard, § 1:12
- Noisy withdrawal, § 3:19, 3:20, 8:4, 8:10
- Post employment representation of litigants, § 6:15

### CONFIDENTIALITY—Cont'd

- Post-termination, § 3:20
- Privileged communication requisites
  - Generally, § 1:8 et seq.
  - See also Attorney-Client Privilege, this index
- Property rights in privileged documents, § 6:16
- Qui tam suits by inside counsel, § 6:17
- Reporting of criminal conduct
  - Generally, § 5:20
  - Sarbanes-Oxley Act, § 8:9
- Represented Party Contacts, this index
- Resignation and, § 3:20
- Serious injury exception, § 3:11
- Trial practice, access of inside counsel to information, § 4:24
- Up-the-ladder reporting rules
  - Generally, § 8:1 et seq., 8:9
  - See also Sarbanes-Oxley Act, this index

### CONFLICTS OF INTEREST

- Control Contests, this index
- Criminal prosecutions, use of outside counsel, § 5:8
- Derivative Actions, this index
- Employees, corporate counsel's joint representation of, § 1:4
- Errant officers, duties to, § 3:14
- Formal conflicts, § 1:4
- Former-client disqualification issues, § 3:4
- Imputed disqualification, § 3:4
- Joint defense arrangements, § 1:4
- Joint representation of corporation and employees, § 1:4
- Labor union counsel, § 6:4
- Liabilities, § 6:2
- Litigants, post employment representation of, § 6:15
- Litigation supervision, § 4:19
- Management-Ownership Conflicts, this index
- Outside counsel
  - Individual employees, representation of, § 4:18



## CONFLICTS OF INTEREST

### —Cont'd

- Outside counsel—Cont'd
  - Retention to avoid, § 3:4
- Post employment representation of litigants, § 6:15
- Potential and real, § 1:4
- Prima facie conflicts, § 3:8
- Screening procedures, § 3:4
- Substantial relationship test, § 3:8
- Union counsel, § 6:4
- Waivers of litigation conflicts, § 4:19
- Work product protection waivers, § 2:10

## CONFLICTS OF LAW

- See also Choice of Law, this index
- License requirements, § 3:2
- Sarbanes-Oxley conflicts with state rules, § 8:11

## CONSPIRACIES

- Generally, § 5:6
- See also Criminal Proceedings, this index

## CONSULTANTS

- Attorney-client relationship and communications with, § 1:3
- Ethical concerns, ethical limits of consultation, § 3:35
- Jury consultants, selection of, § 4:17
- Retainer letter privilege provision, App 1-3
- Work product doctrine, § 2:4

## CONTROL CONTESTS

- Generally, § 3:9
- Conflicts of interest, § 3:9
- Criminal liabilities of successor corporations, § 5:36
- Ethical issues arising in, § 3:1
- Former-client disqualification issues, § 3:4
- Identifying the client, § 3:9
- Independent professional judgment, duty to provide, § 3:6
- Successor corporations
  - Criminal liabilities of, § 5:36
  - Liabilities of counsel to, § 6:2

## CONTROL GROUP TEST

- Attorney-client privilege, § 1:2

## CORPORATE GOVERNANCE

- Advice, affirmative duty of inside counsel to offer, § 3:13
- Sarbanes-Oxley Act standards, § 7:1

## CORPORATIONS AS CLIENTS

- Generally, § 1:2
- As to attorney relationships with employers see Employers as Clients, this index
- Advice, affirmative duty of inside counsel to offer, § 3:13
- Authority of agents, § 1:2
- Boards of directors as clients, § 1:4
- Business advice, ethical issues, § 3:17
- Close corporations, § 3:16
- Confidentiality duties
  - Generally, § 1:8 et seq., 3:11
  - See also Attorney-Client Privilege, this index
  - Malpractice claims against counsel, § 6:3
- Conflicts of Interest, this index
- Control group test of authority, § 1:2
- Coventurers, duties to, § 3:15
- Criminal investigations, § 5:9 et seq.
- Criminal liability of corporate counsel, § 6:18 et seq.
- Derivative actions
  - Attorney-client privilege, § 1:1
  - Liabilities of counsel, § 6:5
- Directors
  - Generally, § 3:14
  - Attorneys serving as
    - Ethical issues, § 3:32
    - Liabilities, § 6:23
  - Co-clients, directors as, § 1:4
- Discovery, corporate privileges frustrating, § 1:1
- Disqualification Motions, this index
- Employees, conflicts of interest in representation of, § 6:2
- Errant officers, duties to
  - advise on potential legal risks and deal with errant officer, § 3:14



## INDEX

### CORPORATIONS AS CLIENTS

#### —Cont'd

- Ethical issues
  - Generally, § 3:1 et seq.
  - See also Ethical Concerns, this index
- Ethics requirements as defense to criminal charges, § 6:22
- Federal agency practice restrictions, § 6:12
- Firm, treatment of counsel's office as
  - Imputed disqualification, § 3:4
  - Supervisory liability, § 3:30
  - Vicarious liability, § 3:5, 3:30
- Former employees
  - Communications with, § 1:3
  - Representation of, § 1:4
- Former-client disqualification issues, § 3:4
- Gatekeeper role of inside counsel under Sarbanes Oxley, § 6:12
- Identifying the client
  - Control contests, § 3:9
  - Derivative actions, § 3:10
  - Parent and subsidiaries, § 3:8
- Identity statements in memoranda, § 1:14
- Indemnification rights, § 6:14
- Independent professional judgment, duty to provide, § 3:6
- Investigations of criminal charges, § 5:9 et seq.
- Investigatory employee interviews, § 1:3
- Joint defense arrangements, § 1:4
- Joint representation of corporation and employees, § 1:4
- Liabilities
  - Generally, § 6:1 et seq.
  - See also Liabilities, this index
  - Administrative practice restrictions, § 6:12
  - Attorney-directors, § 6:23
  - Confidentiality obligations, § 6:3
  - Criminal liability of corporate counsel, § 6:18 et seq.
  - Ethics requirements as defense, § 6:22
  - Indemnification, § 6:14

### CORPORATIONS AS CLIENTS

#### —Cont'd

- Liabilities—Cont'd
  - Malpractice insurance, § 6:13, App 6-1
  - Privilege duty conflicts with counsel's criminal defense, § 6:21
- License Requirements, this index
- Litigation Supervision, this index
- Litigators, staff, § 4:4
- Main office location and multi-jurisdictional practice, § 3:2
- Malpractice insurance, § 6:13, App 6-1
- Management as clients, § 1:4
- Management-Ownership Conflicts, this index
- Memoranda identity statements, § 1:14
- Negotiators, attorneys acting as, § 3:17
- Non-employment agents, communications with, § 1:3
- Officers
  - Generally, § 3:14
  - Co-clients, officers as, § 1:4
- Partners, duties to, § 3:15
- Personal counsel, use of term, § 6:4
- Predictability of privilege rule applications, § 1:1
- Privilege duty conflicts with counsel's criminal defense, § 6:21
- Privileged communications
  - Generally, § 1:2 et seq.
  - See also Attorney-Client Privilege, this index
  - Duty of counsel to assert privilege, § 1:22
  - Former officers' right to assert, § 1:22
  - Who may waive or assert privilege, § 1:22
- Represented Party Contacts, this index
- Sarbanes-Oxley Act requirements
  - Generally, § 7:1 et seq.

## **CORPORATIONS AS CLIENTS**

### **—Cont’d**

- Sarbanes-Oxley Act requirements
  - Cont’d
  - See also Sarbanes-Oxley Act, this index
- Scope of employment test of authority, § 1:3
- Sentry role of inside counsel under Sarbanes Oxley, § 6:12
- Shareholders, counsel liabilities to, § 6:5
- Subject matter test of authority, § 1:3
- Subordinate attorneys, Sarbanes-Oxley Act liabilities, § 8:8
- Subpoenas of corporate counsel, § 6:18
- Subsidiaries, communications with employees of, § 1:3
- Target status in criminal investigations, § 6:20
- Unsolicited information from corporate employees, § 1:3
- Upjohn test of authority, § 1:3
- Up-the-ladder reporting rules
  - Generally, § 8:1 et seq.
  - See also Sarbanes-Oxley Act, this index
- Vicarious liability in counsel’s office, § 3:5
- Warnings to employee targets of investigations, § 1:4
- Who may waive or assert privilege
  - Attorney-client privilege, § 1:22
  - Authority of agent, § 1:2
  - Work product doctrine, § 2:10
- Work product doctrine
  - Generally, § 2:1 et seq.
  - Advantages to corporate defendants, objections based on, § 2:1
  - Agent-prepared documents, § 2:4
  - Purpose for which document prepared, § 2:4
  - Veil of secrecy objection, § 2:1
  - Who may waive or assert privilege, § 2:10

## **CRIME-FRAUD EXCEPTION**

- Attorney-client privilege, § 1:26

## **CRIME-FRAUD EXCEPTION**

### **—Cont’d**

- Intentional torts, § 2:16
- Work-product doctrine, § 2:16

## **CRIMINAL PROCEEDINGS**

- Generally, § 5:1 et seq.
- Administrative actions following criminal prosecutions, § 5:35
- Administrative alternatives to prosecution, § 5:3
- Advancements of individual defense costs
  - Generally, § 5:8
  - Agreement for indemnification and advancement, App 5-1
- Advice of counsel defense and attorney-client privilege, § 6:18
- Agents
  - Corporate liability for acts of, § 5:2, 5:5
  - Individual liability of, § 5:6
- Aggregate knowledge and corporate criminal liability, § 5:5
- Aiding and abetting liability
  - Corporate agents, § 5:6
- Counsel
  - Financial institution matters, § 6:19
  - SEC matters, § 6:5
- Antitrust violations, § 5:20
- Assessments, § 5:29
- Caremark liability, § 5:1
- Collateral consequences, § 5:31 et seq.
- Collective knowledge doctrine and corporate criminal liability, § 5:5
- Communicating with prosecutors, § 5:18
- Compliance programs
  - Generally, § 5:30
  - Culpability score, § 5:30
  - Hotlines, § 5:30
  - Prosecutorial discretion decisions, § 5:3
  - Sentence mitigation, § 5:30
  - Sentencing guideline incentives, § 5:1

## INDEX

### CRIMINAL PROCEEDINGS

#### —Cont'd

- Compliance programs—Cont'd
  - Vicarious liability, defenses to, § 5:5
- Computer files, § 5:17
- Confidentiality and crime prevention duties of counsel, § 6:17
- Conflicts of interest and separate counsel, § 4:18
- Conspiracies, § 5:6
- Cooperation with law enforcement
  - Employee discipline strategies, § 5:38
  - Value of, § 5:2
- Corporate criminal liability, § 5:2, 5:5
- Corporate Fraud Task Force, § 5:16
- Corporate Leniency Policy, § 5:3
- Costs awards, § 5:29
- Counsel, individual criminal liability of, § 6:18 et seq.
- Criminal purposes findings, § 5:27
- Culpability score
  - Generally, § 5:27
  - Compliance programs, § 5:30
- Custodians. Records custodians, below
- D & O policies, § 5:8
- Debarments of Government Contractors, this index
- Defense Industry Initiative on Business Ethics and Conduct, § 5:4
- Derivative actions following, § 5:1
- Destruction of documents
  - Generally, § 5:12, 5:17
  - Notice to employees of pending investigation, App 5-2
- Directors, outside counsel representation of, § 5:8
- Disbarment of government contractors, Federal Regulations, App 5-8
- Discretion. Prosecutorial discretion, below
- Dissolved corporations, § 5:36
- Document production, § 5:17
- Document reviews by outside counsel, § 5:17

### CRIMINAL PROCEEDINGS

#### —Cont'd

- DOJ Manual
  - Grand jury investigations, § 5:15
  - Prosecutorial discretion, § 5:3
- Eligibility of government contractors, Federal Regulations, App 5-8
- Employees
  - Discipline during investigations, § 5:38
  - Outside counsel representation of, § 5:8
  - Separate counsel for, § 4:18
- Ethics requirements as defense, § 6:22
- Exclusions of health care providers
  - Generally, § 5:33
  - Federal Regulations, App 5-9
- False Claims Act
  - Generally, § 5:20, 5:34
  - Parallel civil and criminal proceedings, § 5:4, 5:34
- Federal vs state law violations, § 5:23
- Financial Crimes Enforcement Network (FINCEN), § 5:20
- Fines
  - Ability to pay, § 5:27
  - Base fines, § 5:27
  - Culpability score, § 5:27, 5:30
  - Negotiated plea agreements, § 5:30
  - Sentencing guidelines, § 5:25, 5:27
- Forfeiture orders, § 5:29
- Grand jury investigations
  - Generally, § 5:15 et seq.
  - Communicating with prosecutors, § 5:18
  - Computer files, § 5:17
  - Counsel as target, § 6:20
  - Destruction of documents, § 5:17
  - Document production, § 5:17
  - DOJ Manual, § 5:15
  - Federal procedures, § 5:16
  - Immunity grants, § 5:16
  - Indictments, § 5:16
  - Jencks Act discovery, § 5:16
  - Monitoring the investigation, § 5:18

## CRIMINAL PROCEEDINGS

### —Cont'd

- Grand jury investigations—Cont'd
  - Notice to employees of pending investigation, **App 5-2**
  - Outside counsel, § **5:15**
  - Privileges, § **5:16**
  - Records custodians, below
  - Right to counsel, § **5:16**
  - Search warrants, § **5:19**
  - Subpoenas duces tecum, § **5:17**
  - Targets of grand jury investigations, below
- Guidelines, DOJ Manual, above
- Health care provider exclusion orders
  - Generally, § **5:33**
  - Federal Regulations, **App 5-9**
- Immunity grants, § **5:16**
- Indemnification of individual defense costs
  - Generally, § **5:8**
  - Agreement for indemnification and advancement, **App 5-1**
- Individual liability for corporate crimes
  - Generally, § **5:6**
  - Counsel liabilities, § **6:18 et seq.**
  - Outside counsel representation, § **5:8**
- Insider trading, § **5:22**
- Interviews of employees
  - Generally, § **5:13**
  - Notice of pending investigation, **App 5-2**
  - Rights admonition memorandum, **App 5-5**
- Investigations
  - Generally, § **5:1 et seq.**
  - By inside counsel, § **5:9 et seq.**
  - Confidentiality preservation, § **5:11**
  - Destruction of documents, § **5:12, 5:17**
  - Document collection
    - Generally, § **5:12**
    - Notice to employees of pending investigation, **App 5-2**
  - Grand jury investigations, above

## CRIMINAL PROCEEDINGS

### —Cont'd

- Investigations—Cont'd
  - Interviews of employees
    - Generally, § **5:13**
  - Admonition memorandum, **App 5-5**
  - Notice to employees of pending investigation, **App 5-2**
- Notifying employees
  - Generally, § **5:12**
  - Form of notice, **App 5-2**
- Obstruction of justice concerns, § **5:14**
- Prosecutor interviews
  - Generally, § **5:13**
  - Notice to employees of pending investigation, **App 5-2**
- Reports, § **5:11**
- Jencks Act, § **5:16**
- Joint defense arrangements, § **5:8**
- Medicare fraud
  - Generally, § **5:33**
  - Federal Regulations, **App 5-9**
- Mitigating factors, § **5:30**
- Multi-jurisdictional practice hazards, § **3:2**
- New York Central test of corporate criminal liability, § **5:5**
- Notifying employees
  - Generally, § **5:12**
  - Form of notice, **App 5-2**
- Obstruction of justice concerns
  - Generally, § **5:14**
  - Notice to employees of pending investigation, **App 5-2**
- Officers
  - Outside counsel representation of, § **5:8**
  - Separate counsel for, § **4:18**
- Outside counsel
  - Generally, § **5:7**
  - Accommodation clients, § **5:8**
  - Criminal liability, § **6:19**
  - Document reviews by, § **5:17**
  - Fee arrangements, § **5:7**
  - Grand jury investigations, § **5:15**

## INDEX

### CRIMINAL PROCEEDINGS

#### —Cont'd

Outside counsel—Cont'd  
Individual liability for corporate crimes, opinions re, § 5:6  
Individuals, representation of, § 4:18, 5:8  
Personal experience, § 5:7  
Plea agreements, § 5:30  
Privileges, preservation of, § 5:9  
Search warrant executions, § 5:19  
Parent-subsidiary liabilities, § 5:37  
Party conflicts, § 4:18  
Pinkerton liability, § 5:6  
Plea agreements  
Generally, § 5:30  
Form, App 5-7  
Privilege duty conflicts with counsel's criminal defense, § 6:21  
Privileges, preservation of, § 5:9  
Probation, § 5:28  
Prosecutorial discretion  
Generally, § 5:2  
Administrative alternatives, § 5:3  
Compliance programs, effect of, § 5:3  
Corporate Leniency Policy, § 5:3  
DOJ Manual, § 5:3  
Strategic considerations, § 5:3  
Prosecutorial misconduct, § 6:18  
Purposes, criminal purposes findings, § 5:27  
Records custodians  
Generally, § 5:17  
Instructions to custodian, App 5-3  
Instructions to employees, App 5-4  
Reductions of sentences, § 5:30  
Regulatory violations, § 5:20  
Reporting of criminal conduct  
Generally, § 5:20  
Sarbanes-Oxley Act, § 8:9  
Represented party contacts  
Generally, § 3:26  
No-contact admonitions, § 3:29  
Responsibility, acceptance of, § 5:30  
Responsible corporate officer doctrine, § 5:6

### CRIMINAL PROCEEDINGS

#### —Cont'd

Restitution orders, § 5:26  
Reverse Jencks doctrine, § 5:13  
Risks of investigations, § 5:10  
Sarbanes-Oxley Act  
Generally, § 7:3  
Effect of enactment, § 5:2  
Scope of employment, agent's criminal acts in, § 5:5  
Search warrants, § 5:19  
Securities law disclosures, § 5:22  
Self reporting adjustments to sentencing guidelines, § 5:30  
Self-incrimination privilege  
Applicability to business entities, § 5:4  
Grand jury investigations, § 5:16  
Targets of grand jury investigations, § 5:16  
Sentencing guidelines  
Generally, § 5:23 et seq., App 5-6  
Adjustments, § 5:30  
Assessments, § 5:29  
Collateral consequences of conviction, consideration of, § 5:31  
Compliance programs, effect of, § 5:1, 5:30  
Constitutionality, § 5:23  
Costs awards, § 5:29  
Culpability factors, § 5:25  
Culpability score, § 5:27, 5:30  
Departures, § 5:27  
Fines, § 5:25, 5:27  
Forfeiture orders, § 5:29  
Mitigating factors, § 5:30  
Organizations, application to, § 5:24  
Plea agreements, effect of, § 5:30  
Probation, § 5:28  
Reductions of sentences, § 5:30  
Responsibility, acceptance of, § 5:30  
Restitution orders, § 5:26  
Self reporting adjustments, § 5:30  
Special assessments, § 5:29

## **CRIMINAL PROCEEDINGS**

### **—Cont’d**

#### Settlements

Employee discipline during negotiations, § 5:38

Global settlements of civil and criminal charges, § 5:34

Special assessments, § 5:29

State health programs, Federal Regulations, App 5-9

#### State prosecutions

Corporate criminal liability, § 5:5

Federal vs state law violations, § 5:23

Grand juries, § 5:15

#### Strategic considerations

Employee discipline, § 5:38

Fight or cooperate, § 5:4

Prosecutorial discretion, § 5:3

Subpoenas duces tecum, § 5:17

Subpoenas of corporate counsel, § 6:18

Successor corporations, liabilities of, § 5:36

#### Suspension of government contractors

Generally, § 5:32

Federal Regulations, App 5-8

#### Targets of grand jury investigations

Generally, § 5:16

Counsel as target, § 6:20

Self-incrimination privilege, § 5:16

Unauthorized practice of law, § 3:2

Voluntary disclosure programs, § 5:20, 5:21

Voluntary disclosures and other forms of self-reporting of criminal conduct

Pitfalls to avoid, § 5:21

Wells submissions, § 5:22

## **CROSS-BORDER PRACTICE**

Ethical issues, § 3:2

## **CURRENCY TRANSACTION REPORTS (CTR)**

Generally, § 5:20

## **D & O POLICIES**

Criminal defense assistance, § 5:8

## **DEBARMENTS OF GOVERNMENT CONTRACTORS**

Generally, § 5:30, 5:32

Plea agreements, § 5:30

## **DEFENSE CONTRACTORS**

See also Public Contracts, this index

Criminal prosecutions, collateral consequences, § 5:20

Debarments of Government Contractors, this index

## **DEFENSE INDUSTRY INITIATIVE ON BUSINESS ETHICS AND CONDUCT**

Generally, § 5:4

## **DERIVATIVE ACTIONS**

See also Management-Ownership Conflicts, this index

Attorney-client privilege, § 1:27, 3:10

Conflicts of interest, § 3:10, 6:4

Counsel, suits against, § 6:5

Criminal investigations and, § 5:1

Demands on board, legal advice re, § 3:10

Garner doctrine, § 1:27, 2:13

Identifying the client, § 3:10

Work product privilege, § 2:13

## **DESTRUCTION OF DOCUMENTS**

Generally, § 5:12, 5:17

Accountants' records, § 7:4

Notice to employees of pending investigation, App 5-2

Sarbanes-Oxley Act proscriptions, § 7:1

## **DIRECTORS**

Advancements of criminal defense costs

Generally, § 5:8

Agreement for indemnification and advancement, App 5-1

Advice of counsel claims and privilege waivers, § 1:25

## INDEX

### **DIRECTORS—Cont'd**

- Attorney-client privilege assertions, § 1:4
- Attorney-client relationships with, § 3:14
- Attorneys serving as
  - Ethical issues, § 3:32
  - Liabilities, § 6:23
- Caremark liability, § 5:1
- Client and co-clients status, § 1:4
- Conflicts of interest in individual representation of, § 3:14
- Criminal defense representation of, § 5:8
- Criminal liability of corporations for conduct of agents, § 5:2, 5:5
- Demands on board prior to derivative actions, legal advice re, § 3:10
- Financial institution directors, special obligations, § 3:32
- Indemnification of criminal defense costs
  - Generally, § 5:8
  - Agreement for indemnification and advancement, App 5-1
- Joint defense arrangements, § 1:4
- Legal compliance committees (QLCC)
  - Generally, § 8:4
  - CLO reports to, § 8:6
- Management-ownership conflicts, inside counsel's duties, § 3:7
- Outside counsel representation of in criminal proceedings, § 5:8
- Outside counsel serving as, § 3:32
- Represented Party Contacts, this index
- Target-of-investigation status and representation by independent counsel, § 1:4
- Waiver of privileges by, § 1:22

### **DISBARMENTS OF GOVERNMENT CONTRACTORS**

- Federal Regulations, App 5-8

### **DISCLOSURES**

- See also Confidentiality, this index

### **DISCLOSURES—Cont'd**

- Certifications of reports
  - Generally, § 7:1 et seq.
  - See also Sarbanes-Oxley Act, this index
- Common interest disclosures and confidentiality, § 1:14
- Common interest disclosures and waiver of privilege assertions, § 1:24, 2:12
- Completeness of, § 5:22
- Consensual, § 3:11
- Contractor Business Ethics Compliance Program and Disclosure Requirements, App 5-12
- Criminal proceeding disclosures, § 5:20
- Defense Industry Initiative on Business Ethics and Conduct, § 5:4
- Deliberate disclosure, waiver or loss of privilege by, § 1:24, 2:12
- Employees, disclosures to, § 3:11
- FD Regulation disclosures, § 5:22
- Inadvertent disclosure and waiver of privilege, § 1:23, 2:11, App 1-4
- Insider trading, § 5:22
- Intercompany disclosures and confidential communications with counsel, § 1:12
- Liabilities of counsel, § 6:5
- Management-ownership conflicts, § 3:7
- Materiality
  - Generally, § 5:22
  - SEC standard, § 5:22
- Privileged material, § 1:21
- Regulated industries, required disclosures, § 5:2
- Regulatory agencies, disclosures to Attorney-client privilege, § 1:24
- Work product doctrine, § 2:12
- Reporting of criminal conduct
  - Generally, § 5:20
  - Sarbanes-Oxley Act, § 8:9
- Securities law disclosures and criminal proceedings, § 5:22
- Selective disclosure and attorney-client privilege, § 1:21
- S-K disclosures, § 5:22



**DISCLOSURES—Cont’d**

- Voluntary disclosures in criminal proceedings, § 5:20
- Wells submissions, § 5:22

**DISCOVERY**

- Attorney-Client Privilege, this index
- Computer files, § 5:17
- Corporate privileges frustrating, § 1:1
- Criminal proceedings, § 5:17
- Destruction of documents, § 5:12, 5:17
- Document management systems, § 2:3
- Documents, privileged, § 1:8
- Inadvertent disclosure and waiver of privilege, § 1:23
- Investigations, this index
- Jencks Act, § 5:16
- Management approvals, § 4:16
- Multi-jurisdictional practice, ethical issues, § 3:2
- Planning, § 4:14
- Records custodians
  - Generally, § 5:17
  - Instructions to custodian, App 5-3
  - Instructions to employees, App 5-4
- Represented Party Contacts, this index
- Self-incrimination privilege, applicability to business entities, § 5:4
- Work Product Doctrine, this index

**DISQUALIFICATION MOTIONS**

- Corporate family disputes, § 3:8
- Ethics rules and, § 3:1
- Former-client disqualification issues, § 3:4
- Imputed disqualification, § 3:4
- Represented party contacts, § 3:21

**DISSOLVED CORPORATIONS**

- Liabilities, § 5:36

**DOCUMENT MANAGEMENT SYSTEMS**

- Work product doctrine, § 2:3

**DOCUMENTS**

- Property rights in privileged documents, § 6:16
- Records Custodians, this index
- Retention requirements, Sarbanes-Oxley, § 8:9
- Taking on termination of employment, § 6:16

**DUE CARE DUTIES**

- Generally, § 3:7

**ELECTRONIC COMMUNICATIONS**

- Confidentiality of, § 1:13

**ELECTRONIC RECORDS**

- Criminal proceedings, § 5:17
- Inadvertent disclosure and waiver of privilege, § 1:23
- Sarbanes-Oxley retention requirements, § 7:4

**ELIGIBILITY OF GOVERNMENT CONTRACTORS**

- Generally, § 5:32
- Federal Regulations, App 5-8

**EMPLOYEES**

- Advancements of criminal defense costs
  - Generally, § 5:8
- Agreement for indemnification and advancement, App 5-1
- Attorneys, practice status, § 8:2
- Attorneys subject to Sarbanes-Oxley Act, § 8:2
- Confidentiality duties and disclosures to, § 3:11
- Conflicts of interest in representation of, § 6:2
- Counsels’ rights as employees
  - Generally, § 6:6 et seq.
  - At-will employment, § 6:6
  - Contractual employment rights, § 6:10
  - Discrimination law claims, § 6:9
- Documents, corporate, taking on termination of employment, § 6:16

## INDEX

### EMPLOYEES—Cont'd

- Counsels' rights as employees
  - Cont'd
  - Public policy wrongful discharge claims, § 6:8
  - Qui tam suits, § 6:17
  - Resignation duties and wrongful discharge claims, § 6:7
  - Retaliatory discharge
    - Generally, § 6:8
    - Sarbanes-Oxley protections, § 8:10
  - Whistleblower protections, § 6:11
  - Wrongful termination
    - Generally, § 6:7, 6:8
    - Sarbanes-Oxley protections, § 8:10
  - Criminal proceedings and outside counsel representation, § 5:8
  - Discipline during investigations, § 5:38
  - Discrimination law claims by inside counsel, § 6:9
  - Documents, corporate, taking on termination of employment, § 6:16
  - Indemnification of criminal defense costs
    - Generally, § 5:8
    - Agreement for indemnification and advancement, App 5-1
  - Instructions to deliver documents to custodian of records, App 5-4
  - Investigations, discipline actions during, § 5:38
  - Malpractice claims of, § 6:4
  - Nonpracticing attorney-employees, § 8:2
  - Outside counsel representation of in criminal proceedings, § 5:8
  - Outside counsel to represent individuals, § 4:18
  - Represented Party Contacts, this index
  - Scope of employment, agent's criminal acts in, § 5:5

### EMPLOYERS AS CLIENTS

- As to attorney relationships with business entities see Corpora-

### EMPLOYERS AS CLIENTS

#### —Cont'd

- tions as Clients, this index
- Advice, affirmative duty of inside counsel to offer, § 3:13
- Anticipation of litigation requirement, § 2:5
- Attorney-client privilege
  - Generally, § 1:5
  - Intent of communicator, § 1:5
  - Investigations, § 1:18
  - Necessary communications, § 1:8
  - Purpose of communication, § 1:15 et seq.
- Attorneys subject to Sarbanes-Oxley Act, § 8:2
- At-will employment, § 6:6
- Bar membership, maintenance of, § 1:5
- Business vs legal functions
  - Attorney-client privilege, § 1:16
  - Ethical issues, § 3:3, 3:17
- Confidentiality duties
  - Generally, § 3:11
  - At-will status, § 6:6
  - Post-termination, § 3:20
- Conflicts of interest liabilities, § 6:2
- Contractual employment rights, § 6:10
- Criminal investigations, § 5:9 et seq.
- Criminal liability, § 6:18 et seq.
- Discrimination law claims, § 6:9
- Disqualification Motions, this index
- Documents, corporate, taking on termination of employment, § 6:16
- Dual role problems, § 1:5
- Ethical issues
  - Generally, § 3:1 et seq.
  - See also Ethical Concerns, this index
  - Defense to criminal charges, § 6:22
- Federal agency practice restrictions, § 6:12
- Firm, treatment of counsel's office as
  - Imputed disqualification, § 3:4
  - Supervisory liability, § 3:30

## EMPLOYERS AS CLIENTS

### —Cont'd

Firm, treatment of counsel's office as  
—Cont'd  
Vicarious liability, § 3:5, 3:30  
Gatekeeper role of inside counsel  
under Sarbanes Oxley, § 6:12  
Implied requests for legal advice as  
privileged, § 1:8  
Indemnification rights, § 6:14  
Independent professional judgment,  
duty to provide, § 3:6  
Investigatory functions of in-house  
counsel  
Attorney-client privilege, § 1:8  
Criminal matters, § 5:9 et seq.  
Legal vs personal advice  
Attorney-client privilege, § 1:16,  
1:17  
Sarbanes-Oxley Act, § 8:3  
Liabilities  
Generally, § 6:1 et seq.  
See also Liabilities, this index  
Administrative practice restric-  
tions, § 6:12  
Criminal liability of corporate  
counsel, § 6:18 et seq.  
Ethics requirements as defense,  
§ 6:22  
Indemnification, § 6:14  
Malpractice action by client  
employer, § 6:3  
Malpractice insurance, § 6:13,  
App 6-1  
Privilege duty conflicts with  
counsel's criminal defense,  
§ 6:21  
License Requirements, this index  
Litigants, post employment represen-  
tation of, § 6:15  
Loyalty duties and at-will status,  
§ 6:6  
Malpractice actions, § 6:3  
Malpractice insurance, § 6:13, App  
6-1  
Negotiators, attorneys acting as,  
§ 3:17  
Nonpracticing attorney-employees,  
§ 8:2

## EMPLOYERS AS CLIENTS

### —Cont'd

Personal vs legal advice  
Attorney-client privilege, § 1:16,  
1:17  
Sarbanes-Oxley Act, § 8:3  
Post employment representation of  
litigants, § 6:15  
Privilege duty conflicts with  
counsel's criminal defense,  
§ 6:21  
Public policy wrongful discharge  
claims, § 6:8  
Qui tam suits by, § 6:17  
Regulated industries, business vs  
legal advice distinction, § 1:16  
Represented Party Contacts, this  
index  
Resignation, implications for inside  
counsel, § 3:1  
Resignation duties and wrongful dis-  
charge claims, § 6:7  
Retaliatory discharge  
Generally, § 6:8  
Sarbanes-Oxley protections, § 8:10  
Rights as employees  
Generally, § 6:6 et seq.  
At-will employment, § 6:6  
Confidentiality duties and at-will  
status, § 6:6  
Contractual employment rights,  
§ 6:10  
Discrimination law claims, § 6:9  
Documents, corporate, taking on  
termination of employment,  
§ 6:16  
Loyalty duties and at-will status,  
§ 6:6  
Public policy wrongful discharge  
claims, § 6:8  
Qui tam suits, § 6:17  
Resignation duties and wrongful  
discharge claims, § 6:7  
Retaliatory discharge  
Generally, § 6:8  
Sarbanes-Oxley protections,  
§ 8:10  
Whistleblower protections, § 6:11

## INDEX

### EMPLOYERS AS CLIENTS

#### —Cont'd

- Rights as employees—Cont'd
  - Wrongful termination
    - Generally, § 6:7, 6:8
    - Sarbanes-Oxley protections, § 8:10
- Sarbanes-Oxley duties
  - Generally, § 7:1 et seq.
  - See also Sarbanes-Oxley Act, this index
- Sentry role of inside counsel under Sarbanes Oxley, § 6:12
- Special status proposals for in-house counsel, § 1:5
- Subordinate attorneys, Sarbanes-Oxley Act liabilities, § 8:8
- Subsidiaries of corporate employer, communications with employees of, § 1:3
- Target status in criminal investigations, § 6:20
- Unsolicited advice from counsel as privileged, § 1:8
- Up-the-ladder reporting rules
  - Generally, § 8:1 et seq.
  - See also Sarbanes-Oxley Act, this index
- Vicarious liability within counsel's office, § 3:5
- Whistleblower protections, § 6:11
- Wrongful termination
  - Generally, § 6:7, 6:8
  - Sarbanes-Oxley protections, § 8:10

### ETHICAL CONCERNS

- Generally, § 3:1 et seq.
- Administrative practice sanctions, § 6:12
- Advice, affirmative duty to offer, § 3:13
- At will status and ethical dilemmas, § 6:6
- Business advice, § 3:17
- Business vs legal functions
  - Generally, § 3:3
  - Director, attorney serving as
    - Generally, § 3:32
    - Liabilities, § 6:23

### ETHICAL CONCERNS—Cont'd

- Choice of law
  - Disciplinary authority, § 3:2
- Close corporations, legal advisors to, § 3:16
- Competitors, limitations on working with, § 3:34
- Compliance programs, § 3:30
- Confidentiality duties, § 3:11
- Conflicts of Interest, this index
- Consultation, ethical limits, § 3:35
- Contractor Business Ethics Compliance Program and Disclosure Requirements, App 5-12
- Control contests
  - Identifying the client, § 3:9
  - Independent professional judgment, duty to provide, § 3:6
  - Reviews of, § 3:1
- Coventurers, duties to, § 3:15
- Criminal liability of corporate counsel, § 6:18 et seq.
- Defenses to criminal liability charges, § 6:22
- Derivative actions, identifying the client, § 3:10
- Directors
  - Attorneys serving as
    - Generally, § 3:32
    - Liabilities, § 6:23
- Disciplinary authority and choice of law, § 3:2
- Disqualification motions and, § 3:1
- Documents, corporate, taking on termination of employment, § 6:16
- Due care duties, § 3:7
- False statements, § 3:19
- Federal agency practice restrictions, § 6:12
- Federal attorneys, § 3:26
- Firm, treatment of counsel's office as
  - Imputed disqualification, § 3:4
  - Supervisory liability, § 3:30
  - Vicarious liability, § 3:5, 3:30
- Former clients, limitations on working with competitors, § 3:34
- Government attorneys, § 3:26

**ETHICAL CONCERNS—Cont’d**

- Identifying the client
  - Control contests, § 3:9
  - Corporate affiliates, § 3:8
  - Derivative actions, § 3:10
- Imputed disqualification, § 3:4
- Inadvertent disclosure of privileged materials, opponents’ duties, § 2:11
- Independent professional judgment, duty to provide, § 3:6
- Informed, duty to be, § 3:12
- Internet business and license requirements, § 3:2
- Law violations by officers, § 3:7
- Legal advice, § 3:6 et seq.
- Liabilities
  - Generally, § 3:1, 6:1 et seq.
  - See also Liabilities, this index
  - Administrative practice restrictions, § 6:12
  - Attorney-directors, § 6:23
  - Criminal liability of corporate counsel, § 6:18 et seq.
  - Indemnification, § 6:14
  - Malpractice insurance, § 6:13, App 6-1
  - Privilege duty conflicts with counsel’s criminal defense, § 6:21
- License requirements for inside counsel, § 3:2
- Litigation activities, § 3:19
- Main office location and multi-jurisdictional practice, § 3:2
- Management-ownership conflicts, § 3:7
- Misrepresentation by silence, § 3:17
- Moral turpitude and non-legal functions, § 3:3
- Multi-jurisdictional practice, § 3:2
- Multi-state practice, § 3:2
- Negotiators, attorneys acting as, § 3:17
- No-contact rule, § 3:22
- Noisy withdrawal, § 3:19, 3:20, 8:4, 8:10

**ETHICAL CONCERNS—Cont’d**

- Officers, errant, duties to
  - Advise on potential legal risks and dealing, § 3:14
- Opinions of ABA Committee on Ethics and Professional Responsibility, App 3-14
- Partners, duties to, § 3:15
- Partners, firm, § 3:30
- Perjury, § 3:19
- Permissive withdrawal, § 3:20
- Practice sanctions in regulated industries, § 6:12
- Press contact, § 3:33
- Privilege duty conflicts with counsel’s criminal defense, § 6:21
- Pro hac vice admissions in foreign jurisdictions, § 3:2
- Professional conduct rule conflicts with up-the-ladder reporting, § 8:9, 8:11
- Public policy wrongful discharge claims, § 6:8
- Regulators, dealing with, § 3:31
- Represented Party Contacts, this index
- Resignation as duty
  - Generally, § 3:20
  - Implications for inside counsel, § 3:1
  - Wrongful termination claims, § 6:7
- Restatement of Law Governing Lawyers, App 5-11
- Sarbanes-Oxley Act requirements
  - Generally, § 7:1 et seq.
  - See also Sarbanes-Oxley Act, this index
  - Conflicts created by, § 8:11
- SEC practice sanctions, § 6:12
- Settlement negotiations, § 3:18
- Silence, misrepresentation by, § 3:17
- State professional conduct rule conflicts with up-the-ladder reporting, § 8:9, 8:11
- Substantially related matter, limitations on working with competitors, § 3:34
- Transnational practice, § 3:2

## INDEX

### **ETHICAL CONCERNS—Cont'd**

- Trial publicity, § 3:33
- Truth telling and business advice, § 3:17
- Unmeritorious claims, § 3:18
- Up-the-ladder reporting
  - Generally, § 8:1 et seq.
  - See also Sarbanes-Oxley Act, this index
- Vicarious liability, § 3:5
- Withdrawal, permissive, § 3:20
- Work product protection, loss of by unethical conduct, § 2:9

### **EXPERTS**

- Agents of corporation or of counsel, § 1:7
- Privileged communications with, § 1:6
- Retainer letter privilege provision, App 1-3
- Selection of, § 4:17
- Work product doctrine, § 2:4

### **FALSE CLAIMS ACT**

- Generally, § 5:20, App 5-10
- Confidentiality duty conflicts, § 6:17
- Criminal conviction, effect of, § 5:34
- Inside counsel, qui tam suits by, § 6:17
- Parallel civil and criminal proceedings, § 5:4, 5:34
- Qui tam relaters, inside counsel as, § 6:17
- Treble damages, § 5:34

### **FEDERAL COURTS**

- Privilege rules, § 1:1

### **FIDUCIARY DUTIES**

- Affiliated corporation conflicts, § 3:8
- Up-the-ladder reporting of violations, § 8:3

### **FINANCIAL INSTITUTIONS**

- See also Regulated Industries, this index
- Advancements of defense costs to officers and directors
  - Generally, § 5:8

### **FINANCIAL INSTITUTIONS—Cont'd**

- Advancements of defense costs to officers and directors—Cont'd
  - Agreement for indemnification and advancement, App 5-1
- Affiliates subject to special rules, § 3:8
- Aiding and abetting liability of counsel, § 6:19
- Bank Secrecy Act, § 5:20
- Currency transaction reports, § 5:5, 5:20
- Directors' obligations, § 3:32
- Ethical reporting obligations, § 3:31
- Financial Crimes Enforcement Network (FINCEN), § 5:20
- Indemnification of officers and directors
  - Generally, § 5:8
  - Agreement for indemnification and advancement, App 5-1
- Reporting of criminal activity, § 3:31, 5:4, 5:20
- Suspicious activity reports (SAR), § 5:20

### **FINANCIAL RECORDS**

- See Sarbanes-Oxley Act, this index

### **FOREIGN COUNTRY PRACTICE**

- Ethical issues, § 3:2

### **FORMER CLIENTS**

- Ethical concerns, limitations on working with competitors, § 3:34

### **FRAUD**

- Advice, affirmative duty of inside counsel to offer, § 3:13
- Business vs legal functions and ethics rules, § 3:3
- Caremark liability, § 5:1
- Confidentiality and fraud prevention duties of counsel, § 6:17
- Corporate Fraud Task Force, § 5:16
- Crime-fraud exceptions, § 1:26
- Criminal
  - See also Criminal Proceedings, this index

**FRAUD—Cont’d**

- Criminal—Cont’d
  - Collateral consequences, § 5:31 et seq.
  - Health care companies, § 5:20
  - Investigations, this index
  - Materiality, § 5:22
  - Medicare, § 5:20
  - Securities fraud liabilities of counsel, § 6:5
  - Silence, misrepresentation by, § 3:17

**GARNER DOCTRINE**

- Attorney-client privilege, § 1:27
- Work product privilege, § 2:13

**GOVERNMENT CONTRACTS**

- See Public Contracts, this index

**GRAND JURY INVESTIGATIONS**

- Generally, § 5:15 et seq.
- See also Criminal Proceedings, this index

**HEALTH CARE PROVIDERS**

- Administrative actions following criminal prosecutions, § 5:35
- Civil Monetary Penalty Act, § 5:35
- Criminal convictions, § 5:33
- Exclusion orders
  - Generally, § 5:33
  - Federal Regulations, App 5-9
  - Medicare fraud, § 5:33, App 5-9

**IDENTIFYING THE CLIENT**

- Control contests, § 3:9
- Derivative actions, § 3:10
- Parent and subsidiaries, § 3:8

**INDEMNIFICATION**

- Generally, § 5:8
- Agreement for indemnification and advancement, App 5-1
- Counsel, indemnification rights of, § 6:14

**INDEPENDENT PROFESSIONAL JUDGMENT**

- Duty to provide, § 3:6

**INFORMED, DUTY TO BE**

- Generally, § 3:12

**IN-ISSUE DOCTRINE**

- Generally, § 1:25

**INSURANCE**

- D & O policies, § 5:8
- Malpractice policies for inside counsel, § 6:13, App 6-1

**INTERNATIONAL PRACTICE**

- Ethical issues, § 3:2
- Sarbanes-Oxley Act, § 8:11

**INTERNET ACTIVITIES**

- License requirement implications, § 3:2

**INVESTIGATIONS**

- Affirmative duties under Sarbanes-Oxley, § 8:3
- Attorney-client privilege, § 1:18
- Admonition memorandum, App 5-5
- Employee interviews, § 1:3
- Investigatory functions of in-house counsel, § 1:8
- Computer files, § 5:17
- Confidentiality admonitions, § 1:4
- Crime-fraud exception to attorney-client privilege, § 1:26
- Criminal proceedings
  - Generally, § 5:1 et seq.
  - Confidentiality preservation, § 5:11
  - Destruction of documents, § 5:12, 5:17
  - Document collection
    - Generally, § 5:12
    - Notice to employees of pending investigation, App 5-2
  - Inside counsel investigations, § 5:9 et seq.
  - Interviews of employees, § 5:13, App 5-5
  - Notifying employees, § 5:12
  - Obstruction of justice concerns, § 5:14
  - Prosecutor interviews
    - Generally, § 5:13
    - Notice to employees of pending investigation, App 5-2
  - Reports, § 5:11



## INDEX

### INVESTIGATIONS—Cont'd

- Defense Industry Initiative on Business Ethics and Conduct, § 5:4
- Document collection
  - Generally, § 5:12
  - Destruction of documents, § 5:12, 5:17
  - Notice to employees of pending investigation, App 5-2
- Employee discipline during, § 5:38
- Ethical issues in dealing with regulators, § 3:31
- Grand jury investigations
  - Generally, § 5:15 et seq.
  - See also Criminal Proceedings, this index
  - Counsel as target, § 6:20
  - Subpoenas of corporate counsel, § 6:18
- Immunity grants, § 5:16
- Interviews of employees
  - Generally, § 5:13
  - Admonition memorandum, App 5-5
  - Criminal proceedings, § 5:13
  - Notice to employees of pending investigation, App 5-2
- Investigators' communications, § 1:6
- Obstruction of justice concerns
  - Generally, § 5:14
  - Notice to employees of pending investigation, App 5-2
- Operational, § 5:9
- Outside counsel, use in, § 1:18
- Privilege admonitions, § 1:4
- Privileged communications with investigators, § 1:6
- Prosecutor interviews
  - Generally, § 5:13
  - Notice to employees of pending investigation, App 5-2
- Purpose of, § 1:18
- Records custodians
  - Generally, § 5:17
  - Instructions to custodian, App 5-3
  - Instructions to employees, App 5-4
- Represented party contacts
  - Generally, § 3:26

### INVESTIGATIONS—Cont'd

- Represented party contacts—Cont'd
  - See also Represented Party Contacts, this index
  - No-contact admonitions, § 3:29
- Risks of criminal investigations, § 5:10
- Sarbanes-Oxley Act investigative attorneys, § 8:2, 8:5
- SEC requirements, § 1:24
- Self-incrimination privilege, applicability to business entities, § 5:4
- Subpoenas of corporate counsel, § 6:18
- Target status and representation by independent counsel, § 1:4
- Targets of grand jury investigations
  - Generally, § 5:16
  - Counsel as target, § 6:20
  - Self-incrimination privilege, § 5:16
- Up-the-ladder reporting rules
  - Generally, § 8:1 et seq.
  - See also Sarbanes-Oxley Act, this index
- Warnings to employee targets, § 1:4
- Wells submissions, § 5:22
- Work product protection for materials developed in
  - Generally, § 2:2
  - Anticipation of litigation requirement, § 2:7
  - Undue hardship, § 2:13

### JOINT DEFENSE

#### ARRANGEMENTS

- Generally, § 1:4
- Criminal proceedings, § 5:8
- Non-waiver provision, App 1-2

### JOINT REPRESENTATION

- Corporation and employees, conflicts, § 1:4

### LEGAL ADVICE

- Attorney-Client Privilege, this index
- Regulated industries and business vs legal advice distinction, § 1:16
- Work Product Doctrine, this index

**LEGAL COMPLIANCE  
COMMITTEES (QLCC)**

See Qualified Legal Compliance  
Committees, this index

**LIABILITIES**

Advice, affirmative duty of inside  
counsel to offer, § 3:13

Agents of counsel, § 3:30

Aiding and abetting liability of  
counsel, § 6:5, 6:19

Certification requirements, Sarbanes-  
Oxley, § 7:2

Collateral consequences of criminal  
convictions, § 5:31 et seq.

Conflicts of interest, § 6:2

**Corporate**

Collateral consequences of crimi-  
nal convictions, § 5:31 et seq.

Criminal liability, § 5:2, 5:5

Dissolved corporation, § 5:36

Employee discipline during  
investigations, § 5:38

False Claims Act, this index

Parent-subsiidiary, § 5:37

Responsible corporate officer doc-  
trine, § 5:6

Successor corporation, § 5:36

Vicarious liability of counsel, § 6:2

**Counsel**

Generally, § 6:1

ABA Rules violations, § 3:1

Advice, affirmative duty of inside  
counsel to offer, § 3:13

Agents of, § 3:30

Aiding and abetting liability, § 6:5,  
6:19

Confidentiality obligations, § 6:3

Conflicts of interest, § 6:2

Derivative action liabilities, § 6:5

Disclosure obligations, § 6:5

Employees, liabilities to, § 6:4

Employer, liabilities to, § 6:3

Ethics rules and, § 3:1

In-house counsel, liabilities of,  
§ 6:5

Malpractice action by client  
employer, § 6:3

Officers, liabilities to, § 6:4

**LIABILITIES—Cont'd**

**Counsel—Cont'd**

Reporting obligations, § 6:5

SEC sanctions, § 6:12

Securities fraud, § 6:5

Shareholders, liabilities to, § 6:5

Successor owners, suits by, § 6:2

Supervisor lawyers, § 3:30

Supervisory liability, § 3:30

Third parties, liabilities to, § 6:5

Vicarious liability, § 3:5, 3:30, 6:2

**Criminal**

See also Criminal Proceedings, this  
index

Collateral consequences, § 5:31 et  
seq.

Derivative action liabilities of  
counsel, § 6:5

Disclosure obligations of counsel,  
§ 6:5

Dissolved corporations, § 5:36

Employee discipline during  
investigations, § 5:38

Employees, counsel liabilities to,  
§ 6:4

False Claims Act, this index

Firm, treatment of counsel's office as  
Supervisory liability, § 3:30

Vicarious liability, § 3:5, 3:30

In-house counsel, liabilities of, § 6:5

Malpractice insurance, § 6:13, App  
6-1

**Officers**

Counsel liabilities to, § 6:4

Responsible corporate officer doc-  
trine, § 5:6

Outside counsel, § 6:3

Parent-subsiidiary, § 5:37

Privity defenses, erosion of, § 6:3

Qui tam actions. See False Claims  
Act, this index

Reporting obligations of counsel,  
§ 6:5

Responsible corporate officer doc-  
trine, § 5:6

**Sarbanes-Oxley Act**

Certification requirements, § 7:2

Subordinate attorneys, § 8:8

## INDEX

### LIABILITIES—Cont'd

- Sarbanes-Oxley Act—Cont'd
  - Up-the-ladder reporting, § 8:7
- SEC sanctions, § 6:12
- Securities fraud liabilities of counsel, § 6:5
- Shareholders, counsel liabilities to, § 6:5
- Subordinate attorneys, Sarbanes-Oxley Act, § 8:8
- Successor liability, § 5:36
- Successor owners, suits by, § 6:2
- Supervisor lawyers, § 3:30
- Third parties, liabilities to, § 6:5
- Up-the-ladder reporting rule sanctions, § 8:1
- Vicarious
  - Agents of counsel, § 3:30
  - Counsel for corporations' torts, § 6:2
  - Criminal liability of corporations, § 5:2, 5:5
  - Firm, treatment of counsel's office as, § 3:5, 3:30
  - Responsible corporate officer doctrine, § 5:6

### LICENSE REQUIREMENTS

- Generally, § 3:2
- Association of Corporate Counsel (ACC), list of states authorizing non-locally licensed in-house counsel, chart, **App 3-1**
- Attorney-client privilege claims and, § 1:5
- Conflicts of law, § 3:2
- Employed vs retained counsel, ABA rule, § 3:2
- Internet activities, § 3:2
- Multi-state practice, § 3:2
- Pro hac vice admissions, § 3:2

### LITIGATION SUPERVISION

- Generally, § 4:1 et seq.
- Approvals, management, § 4:16
- Attorney-client privilege protection, § 4:3
- Billing considerations, § 4:5 et seq.
- Budgeting and billing, § 4:6
- Complaints, § 4:19

### LITIGATION SUPERVISION—Cont'd

- Confidential information, access of inside counsel to, § 4:24
- Conflicts of interest, § 4:19
- Conflicts of interest and separate counsel, § 4:18
- Database development, § 4:17
- Demonstrative evidence, § 4:17
- Discovery plan, § 4:14
- Document imaging, § 4:17
- Employees, separate counsel for, § 4:18
- Experts, selection of, § 4:17
- Fees, § 4:5 et seq.
- Incentivized billing, § 4:7
- Initial assessment, § 4:3
- Inside litigators, use of, § 4:4
- Jury consultants, selection of, § 4:17
- Management approvals, § 4:16
- Management model, § 4:2
- News coverage, § 4:21
- Officers, separate counsel for, § 4:18
- Party conflicts, § 4:18
- Periodic evaluations, § 4:19
- Plaintiff, corporation as, § 4:22
- Planning, § 4:2
- Public relations, § 4:21
- Reactive vs proactive defense, § 4:3
- Report cards, § 4:19
- Reporting mechanisms, § 4:8 et seq.
- Risk analyses, § 4:2, 4:3
- Scheduling problems, § 4:19
- Selection of outside counsel, § 4:4
- Settlement decisions, § 4:20
- Staff litigators, use of, § 4:4
- Staffing changes, § 4:19
- Staffing decisions, § 4:4
- Strategic decisionmaking, § 4:15
- Strategic evaluation, § 4:3
- Strategic plan and monitoring, § 4:13 et seq.
- Task-based billing
  - Generally, § 4:5
  - PriceWaterhouseCoopers Report, **App 4-1**
- Trial books, § 4:12
- Trial practice, § 4:23

**LITIGATION SUPERVISION**  
—Cont'd

Work product protection, § 4:3

**LOSS OF PRIVILEGES**

Generally, § 1:21 et seq.

Attorney-client

Generally, § 1:21 et seq.

Crime-fraud exception, § 1:26

Deliberate disclosure, § 1:24

Derivative actions, § 1:27, 3:10

Discovery procedures and inadvertent disclosures, § 1:23

Garner doctrine, § 1:27

Negotiations, disclosures made during, § 1:24

Regulatory agencies, disclosures to, § 1:24

Common interest doctrine, § 1:4

Concealment challenges, § 1:1

Confidentiality of communications

Generally, § 1:8 et seq.

See also Attorney-Client Privilege, this index

Crime-fraud exception

Attorney-client, § 1:26

Work product, § 2:16

Deliberate disclosure

Attorney-client, § 1:24

Work product doctrine, § 2:12

Derivative actions

Generally, § 1:1

Garner doctrine, below

Discovery procedures and inadvertent disclosures, § 1:23

Garner doctrine

Attorney-client, § 1:27

Work product, § 2:13

Good cause showings, § 1:1

Inadvertent waiver

Attorney-client privilege, § 1:23, App 1-4

Work product doctrine, § 2:11

Manipulation challenges, § 1:1

Negotiations, disclosures made during

Attorney-client, § 1:24

Predictability of treatment of corporate clients, § 1:1

**LOSS OF PRIVILEGES—Cont'd**

Public policy challenges, § 1:1

Regulatory agencies, disclosures to

Attorney-client privilege, § 1:24

Work product doctrine, § 2:12

Selective disclosure, § 1:21

Stranger, communications in presence of, § 1:3

Work product

Generally, § 2:9

Crime-fraud exception, § 2:16

Deliberate disclosures, § 2:12

Derivative actions, § 2:13

Ethics breaches, loss of protection through, § 2:9

Garner doctrine, § 2:13

Inadvertent waiver, § 2:11

Reasonable steps to protect, § 2:11

Regulatory agencies, disclosures to, § 2:12

Regulatory disclosures, § 2:12

Substantial need and undue hardship, § 2:13

**LOYALTY DUTIES**

Employed counsel duties and at-will status, § 6:6

**MALPRACTICE**

See Liabilities, this index

**MALPRACTICE INSURANCE**

Generally, § 6:13

Sample policy, App 6-1

**MANAGEMENT-OWNERSHIP CONFLICTS**

Generally, § 3:7

See also Derivative Actions, this index

Confidentiality duties and at-will status of inside counsel, § 6:6

Independent professional judgment, duty to provide, § 3:6

Loyalty duties and at-will status of inside counsel, § 6:6

Outside counsel representation of officers, § 3:14

**MATERIALITY**

Sarbanes-Oxley Act standards, § 8:3

## INDEX

### **MATERIALITY—Cont'd**

SEC disclosure requirements, § 5:22

### **MEDIA**

Ethical concerns, § 3:33

### **MEDICARE AND MEDICAID**

See Health Care Providers, this index

### **MERGERS AND ACQUISITIONS**

See Control Contests, this index

### **MULTI-JURISDICTIONAL PRACTICE**

Licensing requirements, § 3:2

### **NEGOTIATIONS**

Ethical issues, § 3:18

### **NO-CONTACT RULE**

See Represented Party Contacts, this index

### **NOISY WITHDRAWAL**

Generally, § 3:19, 3:20, 8:4, 8:10

See also Resignation, this index

### **NON-LOCAL LICENSES**

Association of Corporate Counsel (ACC), list of states authorizing non-locally licensed in-house counsel, chart, **App 3-1**

### **OFFICERS, CORPORATE**

Advancements of criminal defense costs

Generally, § 5:8

Agreement for indemnification and advancement, **App 5-1**

As legal advisor, duties to constituents

advise on potential legal risks and deal with errant officer, § 3:14

Attorney-client privilege

Generally, § 1:4

Former officers' right to assert, § 1:22

Attorney-client relationships with, § 3:14

CEO discussions and represented party contacts, § 3:25

Chief Legal Officers, this index

Client and co-clients status, § 1:4

### **OFFICERS, CORPORATE—Cont'd**

Criminal liability of corporations for conduct of agents, § 5:2, 5:5

Criminal proceedings and outside counsel, § 5:8

Discipline during investigations, § 5:38

Errant, duties to constituents

advise on potential legal risks and deal with errant officer, § 3:14

Indemnification of criminal defense costs

Generally, § 5:8

Agreement for indemnification and advancement, **App 5-1**

Investigations, discipline during, § 5:38

Joint defense arrangements, § 1:4

Law violations by, ethical issues, § 3:7

Malpractice claims of, § 6:4

Outside counsel representation of

Generally, § 3:14, 4:18

Criminal proceedings, § 5:8

Represented Party Contacts, this index

Responsible corporate officer doctrine, § 5:6

Sarbanes-Oxley Act certification requirements, § 7:2

Scope of employment, agent's criminal acts in, § 5:5

Target-of-investigation status and representation by independent counsel, § 1:4

Up-the-ladder reporting rules

Generally, § 8:1 *et seq.*

See also Sarbanes-Oxley Act, this index

Up-the-ladder reports to, § 8:4

Waiver of privileges by, § 1:22

### **OUTSIDE COUNSEL**

Accommodation clients, § 5:8

Attorney-client privilege

Generally, § 1:16

Employee communications with, § 1:3

Attorney-client relationship, § 1:3

**OUTSIDE COUNSEL—Cont'd**

- Billing considerations, § 4:5 et seq.
- Budgeting and billing, § 4:6
- Communications with, § 1:3
- Complaints about, § 4:19
- Confidential information, access of inside counsel to, § 4:24
- Conflicts of interest
  - Generally, § 3:4
  - Criminal prosecutions, § 5:8
  - Litigation supervision, § 4:19
  - Separate counsel, § 4:18
  - Waivers, § 4:19
- Corporate family disputes, disqualification motions, § 3:8
- Criminal defense
  - Generally, § 5:7, 6:19
  - Accommodation clients, § 5:8
  - Conflicts of interest, § 5:8
  - Fee arrangements, § 5:7
  - Individual liability for corporate crimes, opinions re, § 5:6
  - Individuals, separate representation of, § 5:8
  - Personal experience as factor, § 5:7
  - Plea agreements, § 5:30
  - Privileges, preservation of, § 5:9
- Decision to retain, § 3:9, 4:4
- Directorships, ethical issues in holding of, § 3:32
- Disqualification motions, corporate family disputes, § 3:8
- Document reviews by, § 5:17
- Duty to advise of inside vs outside counsel, § 3:13
- Employees, separate counsel for, § 4:18
- Engagement letter identifications of responsibilities, § 3:14
- Fee arrangements
  - Generally, § 4:5 et seq.
  - Corporate payment for individual's defense, § 5:8
  - Criminal proceedings, § 5:7
- Grand jury investigations, § 5:15
- Inadvertent disclosures by, § 1:23
- Incentivized billing, § 4:7

**OUTSIDE COUNSEL—Cont'd**

- Individual liability for corporate crimes, opinions re, § 5:6
- Investigations, use in, § 1:18
- Management approvals of litigation activities, § 4:16
- Multi-jurisdictional matters, § 3:2
- Officers
  - Representation of, § 3:14
  - Separate counsel for, § 4:18
- Party conflicts, § 4:18
- Personal experience as factor, criminal proceedings, § 5:7
- Privileges, preservation of in criminal proceedings, § 5:9
- Privity defenses, erosion of, § 6:3
- Responsibilities, engagement letter identifications of, § 3:14
- Sarbanes-Oxley obligations
  - Generally, § 8:1 et seq.
  - See also Sarbanes-Oxley Act, this index
- Selection of, § 4:4
- Staff litigators vs, strategic considerations, § 4:4
- Staffing changes, § 4:19
- Supervision
  - Generally, § 4:1 et seq.
  - See also Litigation Supervision, this index
- Task-based billing
  - Generally, § 4:5
- PriceWaterhouseCoopers Report, App 4-1
- Trial practice, role of inside counsel in, § 4:23
- When decisions required, § 3:9
- Work product doctrine, § 2:5

**PARENT AND SUBSIDIARY CORPORATIONS**

- Attorney client privilege
  - Communications with subsidiary employees, § 1:3
  - Waivers, § 1:22
- Communications between and confidentiality, § 1:12
- Fiduciary duties in affiliated corporation conflicts, § 3:8



## INDEX

### **PARENT AND SUBSIDIARY CORPORATIONS—Cont'd**

- Identifying the client, § 3:8
- Independent professional judgment,  
duty to provide, § 3:6
- Liabilities in criminal proceedings,  
§ 5:37
- Prima facie conflicts, § 3:8
- Waiver of privileges, § 1:22

### **PARTY CONTACTS**

- See Represented Party Contacts, this  
index

### **PATENT WORK**

- Attorney-client privilege, § 1:6, 1:19

### **PERJURY**

- Ethical concerns, § 3:19

### **PERMISSIVE WITHDRAWAL**

- Generally, § 3:20

### **PERSONAL COUNSEL**

- Use of term, § 6:4

### **PRESS CONTACT**

- Ethical concerns, § 3:33

### **PRIVILEGES**

- Attorney-Client Privilege, this index
- Confidentiality, this index
- Grand jury investigations, § 5:16
- Loss of Privileges, this index
- Multi-jurisdictional practice, ethical  
issues, § 3:2
- Self-incrimination. See Criminal  
Proceedings, this index
- Waiver of Privilege, this index
- Work Product Doctrine, this index

### **PROFESSIONAL CONDUCT RULES**

- See Ethical Concerns, this index

### **PROTECTIVE ORDERS**

- Represented party contacts, § 3:23

### **PROXY FIGHTS**

- See Control Contests, this index

### **PUBLIC CONTRACTS**

- Contractor Business Ethics Compli-  
ance Program and Disclosure

### **PUBLIC CONTRACTS—Cont'd**

- Requirements, App 5-12
- Debarments of Government Contrac-  
tors, this index
- Defense contractors, § 5:20
- Defense Industry Initiative on Busi-  
ness Ethics and Conduct, § 5:4
- Disbarment of government contrac-  
tors, Federal Regulations, App  
5-8
- Eligibility
- Generally, § 5:32
- Federal Regulations, App 5-8
- False Claims Act, § 5:20
- Suspension of government contrac-  
tors
- Generally, § 5:32
- Federal Regulations, App 5-8

### **PUBLIC POLICY**

- Privilege challenges, § 1:1

### **PUBLIC RELATIONS ACTIVITIES**

- Attorney-client privilege, § 1:6
- Litigation supervision, § 4:21
- Work product doctrine, § 2:6

### **PUBLICITY**

- Ethical concerns, § 3:33

### **QUALIFIED LEGAL**

#### **COMPLIANCE COMMITTEES (QLCC)**

- Generally, § 8:4
- CLO reports to, § 8:6

### **QUI TAM ACTIONS**

- See False Claims Act, this index

### **RECORDS**

- Accountants' records, § 7:4
- Alterations, § 7:4
- Custodians
- Generally, § 5:17
- Instructions to custodian, App 5-3
- Instructions to employees, App 5-4
- Destruction of Documents, this index
- Falsification, § 7:4
- Privileges, this index
- Sarbanes-Oxley Act, this index
- Subpoenas duces tecum, § 5:17



## REGULATED INDUSTRIES

- Administrative actions following criminal prosecutions, § 5:35
- Business vs legal advice distinction, § 1:16
- Cease and desist orders, § 6:12
  - Generally, § 6:12
  - Sarbanes-Oxley Act, § 8:7
- Certifications of reports
  - Generally, § 7:1 et seq.
  - See also Sarbanes-Oxley Act, this index
- Collateral consequences of criminal convictions, § 5:31 et seq.
- Criminal Proceedings, this index
- Debarments of Government Contractors, this index
- Defense contractors, § 5:20
- Disclosures to regulators and privilege waivers
  - Attorney-client privilege, § 1:24
  - Work product doctrine, § 2:12
- Ethical issues in dealing with regulators, § 3:31
- False Claims Act, § 5:20
- Financial Institutions, this index
- Health Care Providers, this index
- Indemnification of individual defense costs
  - Generally, § 5:8
  - Agreement for indemnification and advancement, App 5-1
- Investigations, this index
- Reporting of criminal conduct
  - Generally, § 5:20
  - Sarbanes-Oxley Act, § 8:9
- Represented party contacts, government investigations
  - Generally, § 3:26
  - No-contact admonitions, § 3:29
- Required disclosures, § 5:2
- SEC Regulated Activities, this index
- Self-incrimination privilege, applicability to business entities, § 5:4
- Voluntary disclosure programs, § 5:20, 5:21

## RELATED ENTITIES

- Affiliated Corporations, this index
- Parent and Subsidiary Corporations, this index

## REPORTS AND REPORTING

- See also Whistleblowers, this index
- Accident reports, work product protection, § 2:7, 2:13
- Bank Secrecy Act, § 5:20
- Certifications of reports
  - Generally, § 7:1 et seq.
  - See also Sarbanes-Oxley Act, this index
- Chief legal officers (CLO), § 8:6
- Criminal conduct
  - Generally, § 5:20
  - See also Criminal Proceedings, this index
- Currency transaction reports (CTR), § 5:5, 5:20
- Liabilities of counsel, § 6:5
- Self reporting adjustments to sentencing guidelines, § 5:30
- Suspicious activity reports (SAR), § 5:20
- Up-the-ladder reporting rules
  - Generally, § 8:1 et seq.
  - See also Sarbanes-Oxley Act, this index

## REPRESENTED PARTY CONTACTS

- Generally, § 3:21 et seq.
- Admonitions. No contact admonitions, below
- Agents, contacts through, § 3:25
- Bright-line rules and gray areas, § 3:23
- Circumventions of no-contact rule, § 3:25
- Criminal proceedings, § 5:13
  - Generally, § 3:26
  - No-contact admonitions, § 3:29
- Current employees, § 3:23
- Directors
  - Generally, § 3:22
  - No-contact admonitions, § 3:28
- Disqualification sanctions, § 3:21

## INDEX

### REPRESENTED PARTY

#### CONTACTS—Cont'd

##### Employees

Generally, § 3:21 et seq.

No-contact admonitions, § 3:28

Federal government as litigant,  
§ 3:27

##### Federal investigations

Generally, § 3:26

No-contact admonitions, § 3:29

Former employees, § 3:21, 3:24

##### Government investigations

Generally, § 3:26

No-contact admonitions, § 3:29

##### Investigations

Generally, § 3:26

No-contact admonitions, § 3:29

##### No-contact admonitions

Generally, § 3:28

Federal investigations, § 3:29

##### Officers

Generally, § 3:22

CEO-level contacts, § 3:25

No-contact admonitions, § 3:28

Pre-litigation contacts, § 3:22

Privileges, abrogation of, § 3:21

Prosecutor interviews, § 5:13

Prosecutors' activities, § 3:26, 3:29

Protective orders, § 3:23

Sanctions, § 3:21

Scope of no-contact rule, § 3:22

Supervisory personnel, § 3:23

Third parties, contracts through,  
§ 3:25

Waiver of privileges through, § 3:21

### RESIGNATION

Confidentiality, post-termination,  
§ 3:20

Duty to resign as ethical issue

Generally, § 3:20

Wrongful termination claims, § 6:7

Implications for inside counsel, § 3:1

Management-ownership conflicts,  
§ 3:7

Noisy withdrawal, § 3:19, 3:20, 8:4,  
8:10

Permissive withdrawal, § 3:20

### RESIGNATION—Cont'd

Private vs employed counsel, § 3:20,  
6:7

Up-the-ladder attempts to resolve  
issue, § 3:20

### RESPONDEAT SUPERIOR

Collective corporate knowledge doc-  
trine and criminal liability, § 5:5

### RISKS

Criminal investigations, § 5:10

Litigation risk analyses, § 4:2, 4:3

### SARBANES-OXLEY ACT

Generally, § 7:1 et seq.

Accountants' records, § 7:4

Affirmative duties of CLOs, § 8:3

Alteration of records, § 7:4

Appropriate responses to up-the-lad-  
der reports, § 8:4

Attorney-client privilege conflicts,  
§ 8:9, 8:11

Attorneys subject to Act, § 8:2

Cease and desist orders, § 8:7

#### Certification requirements

Generally, § 7:2

Criminal liabilities, § 7:3

Officers' signatures, § 7:2

SEC rules, § 7:2

Confidentiality conflicts with up-the-  
ladder reporting rules, § 8:9

Corporate governance standards,  
§ 7:1

Criminal liabilities, § 7:3

Criminal prosecutions, § 5:2

#### Destruction of documents

Generally, § 5:12

Criminal penalties, § 7:1

Notice to employees of pending  
investigation, App 5-2

Document retention, § 8:9

Electronic records, § 7:4

Falsification of records, § 7:4

Federal standards for financial  
reports, § 7:1

Foreign law violations and up-the-  
ladder reporting, § 8:3

Gatekeeper role of inside counsel,  
§ 6:12

**SARBANES-OXLEY ACT—Cont’d**

- Good faith of reporter, § 8:11
- Internal controls standards, § 7:2
- Investigative attorneys, § 8:2, 8:5
- Legal compliance committees (QLCC)
  - Generally, § 8:4
  - CLO reports to, § 8:6
- Materiality and up-the-ladder reporting rules, § 8:3
- Materiality of violations, § 8:3
- No-violation opinions and up-the-ladder reporting, § 8:3
- Officers’ signatures, § 7:2
- Officers who must be informed under up-the-ladder reporting, § 8:4
- Outside counsel, retaliation against, § 8:10
- Oversight Board, § 7:4
- Personal legal advice and up-the-ladder reporting rules, § 8:3
- Practice before SEC, § 8:2
- Practice status of employee-attorneys, § 8:2
- Preemption of conflicting rules, § 8:11
- Professional conduct rule conflicts with up-the-ladder reporting, § 8:9, 8:11
- Reasonable responses to up-the-ladder reports, § 8:4
- Retaliatory discharges of reporters, § 8:10
- Sanctions, § 8:7
- Scope of Act, § 8:2
- SEC certification rules, § 7:2
- Sentry role of inside counsel, § 6:12
- Signatures on certifications, § 7:2
- State professional conduct rule conflicts with up-the-ladder reporting, § 8:9, 8:11
- Subordinate attorneys, up-the-ladder reporting, § 8:8
- Supervisory attorneys, § 8:2
- Supervisory attorneys and up-the-ladder reporting rules, § 8:6, 8:8
- Up-the-ladder reporting rules
  - Generally, § 8:1 et seq.
  - Affirmative duties of CLOs, § 8:3

**SARBANES-OXLEY ACT—Cont’d**

- Up-the-ladder reporting rules
  - Cont’d
  - Appropriate responses, § 8:4
  - Attorney-client privilege conflicts, § 8:9, 8:11
  - Attorneys subject to, § 8:2
  - CLO responsibilities, § 8:6
  - Conduct triggering, § 8:3
  - Confidentiality conflicts, § 8:9
  - Document retention, § 8:9
  - Documentation requirements, § 8:4
  - Foreign law violations, § 8:3
  - Good faith of reporter, § 8:11
  - Initial requirements, § 8:4
  - Investigative attorneys, § 8:2, 8:5
  - Involved officers, reports to, § 8:4
  - Materiality of violations, § 8:3
  - No-violation opinions, § 8:3
  - Officers who must be informed, § 8:4
  - Personal legal advice, § 8:3
  - Practice before SEC, § 8:2
  - Practice status of employee-attorneys, § 8:2
  - Preemption of conflicting rules, § 8:11
  - Professional conduct rule conflicts, § 8:9, 8:11
  - Reasonable responses, § 8:4
  - Retaliatory discharges, § 8:10
  - Sanctions, § 8:1, 8:7
  - Subordinate attorneys, § 8:8
  - Supervisory attorneys, § 8:2
  - Supervisory attorneys, § 8:6, 8:8
  - Triggers, § 8:3
  - Violations, § 8:7
  - Violations of up-the-ladder reporting, § 8:7
  - Whistleblower protections, § 6:11

**SCOPE OF EMPLOYMENT TEST**

- Attorney-client privilege, § 1:3

**SCREENING PROCEDURES**

- Conflicts of interest, § 3:4

**SEC REGULATED ACTIVITIES**

- Accountants records, § 7:4

## INDEX

### SEC REGULATED ACTIVITIES

#### —Cont'd

- Aiding and abetting liability of counsel, § 6:5
- Cease and desist orders, § 6:12
- Certifications of reports
  - Generally, § 7:1 et seq.
  - See also Sarbanes-Oxley Act, this index
- Completeness of disclosures, § 5:22
- Counsel, securities fraud liabilities of, § 6:5
- Criminal liabilities of successor corporations, § 5:36
- Currency transaction reports (CTR), § 5:20
- Disclosure laws and criminal proceedings, § 5:22
- FD Regulation disclosures, § 5:22
- Insider trading, § 5:22
- Practice before SEC, § 8:2
- Practice sanctions, § 6:12
- Sarbanes-Oxley Act requirements
  - Generally, § 7:1 et seq.
  - See also Sarbanes-Oxley Act, this index
- Securities law disclosures and criminal proceedings, § 5:22
- S-K disclosures, § 5:22
- Successor corporations, liabilities of, § 5:36
- Supervisor status of CLOs, § 6:12
- Suspicious activity reports (SAR), § 5:20
- Up-the-ladder reporting rules
  - Generally, § 8:1 et seq.
  - See also Sarbanes-Oxley Act, this index
- Wells submissions, § 5:22

### SETTLEMENTS

- Criminal proceeding plea agreements
  - Generally, § 5:30
  - Form, App 5-7
- Global settlements of civil and criminal charges, § 5:34
- Litigation, § 4:20
- Negotiations, ethical issues, § 3:18
- Wells submissions, § 5:22

### SHAREHOLDERS

- Close corporations, legal advisors to, § 3:16
- Control Contests, this index
- Corporations as Clients, this index
- Counsel liabilities to, § 6:5
- Derivative Actions, this index
- Management-Ownership Conflicts, this index

### STATE HEALTH PROGRAMS

- Criminal proceedings, Federal Regulations, App 5-9

### SUBJECT MATTER TEST

- Attorney-client privilege, § 1:3

### SUBORDINATE ATTORNEYS

- Sarbanes-Oxley Act liabilities, § 8:8

### SUBSTANTIALLY RELATED MATTER

- Ethical concerns, limitations on working with competitors, § 3:34

### SUCCESSOR CORPORATIONS

- Criminal liabilities, § 5:36

### SUPERVISORY ATTORNEYS

- See also Chief Legal Officers, this index
- Ethical issues, § 3:30
- Up-the-ladder reporting rules, § 8:6, 8:8

### SUSPENSION OF GOVERNMENT CONTRACTORS

- Generally, § 5:32
- Federal Regulations, App 5-8

### SUSPICIOUS ACTIVITY REPORTS (SAR)

- Generally, § 5:20

### SWORD AND SHIELD DOCTRINE

- Generally, § 1:25

### TAKEOVERS

- See Control Contests, this index

### TAX MATTERS

- Attorney-client privilege, § 1:16, 1:20

## **TORTS**

Crime-fraud exception to privileges, applicability to intentional tort actions, § 2:16

## **TRANSNATIONAL PRACTICE**

Ethical issues, § 3:2

## **TRIAL PUBLICITY**

Ethical concerns, § 3:33

## **TRIBUNAL TRUMPS PRINCIPLE**

Generally, § 3:2

## **UNAUTHORIZED PRACTICE OF LAW**

See License Requirements, this index

## **UNION COUNSEL**

Conflicts of interest, § 6:4

## **UNMERITORIOUS CLAIMS**

Generally, § 3:18

## **UPJOHN TEST**

Attorney-client privilege, § 1:3

## **UP-THE-LADDER REPORTING**

See Sarbanes-Oxley Act, this index

## **WAIVER OF PRIVILEGE**

Generally, § 1:21 et seq., 2:9

Advice of counsel claims, § 1:25, 6:18

Attorney-Client Privilege, this index

Authority of corporate agents, § 1:2

Authority to waive, § 1:22

Crime-fraud exception

Attorney-client, § 1:26

Work product, § 2:16

Delayed assertion of waiver, § 1:21

Deliberate disclosures

Attorney-client, § 1:24

Work product, § 2:12

Derivative actions

Attorney-client privilege, § 1:27, 3:10

Work product, § 2:13

Directors, authority of, § 1:4

Disclosure and waiver, § 1:21

Discovery procedures and inadvertent disclosures, § 1:23

## **WAIVER OF PRIVILEGE—Cont'd**

Document reviews by outside counsel, § 5:17

Garner doctrine

Attorney-client, § 1:27

Work product, § 2:13

Implied waiver, § 1:21, 1:23

Inadvertent waiver

Attorney-client privilege, § 1:23, App 1-4

Work product doctrine, § 2:11

Intercompany disclosures and confidential communications with counsel, § 1:12

Joint defense arrangements

Generally, § 1:4

Non-waiver provision, App 1-2

Negotiations, disclosures made during, § 1:24

No-contact rule violations, § 3:21

Officers, authority of, § 1:4

Outside counsel, document reviews by, § 5:17

Parent and subsidiary, § 1:22

Proof of attorney-client privilege, § 1:21

Reasonable steps to protect work product, § 2:11

Regulatory agencies, disclosures to Attorney-client privilege, § 1:24

Work product, § 2:12

Represented party contacts, § 3:21

Scope of waiver, § 1:21

Selective disclosure, attorney-client privilege, § 1:21

Sword and shield doctrine, § 1:25

Testimonial use, waiver of work product protection by, § 2:15

Who may waive

Attorney-client privilege, § 1:22

Work product protection, § 2:10

Work Product Doctrine, this index

## **WELLS SUBMISSIONS**

Generally, § 5:22

## **WHISTLEBLOWERS**

See also Reports and Reporting, this index

## INDEX

### WHISTLEBLOWERS—Cont'd

- Attorney-client privilege problems of proof, § 6:11
- Compliance program hotlines, § 5:30
- Employed counsel, § 6:11
- In-house counsel, § 6:11
- Management-ownership conflicts, inside counsel's duties, § 3:7
- Reporting, § 6:11
- Sarbanes-Oxley Act, § 6:11
- Up-the-ladder reporting rules
  - Generally, § 8:1 et seq.
  - See also Sarbanes-Oxley Act, this index

### WITHDRAWAL

- See also Resignation, this index
- Noisy withdrawal, § 3:19, 3:20, 8:4, 8:10
- Permissive, § 3:20

### WORK PRODUCT DOCTRINE

- Generally, § 2:1 et seq.
- FRCP 26(b)(3)
  - Generally, § 2:1
  - State adoptions, § 2:1
  - Substantial need and undue hardship, § 2:13
- Accident reports
  - Generally, § 2:13
  - Anticipation of litigation, § 2:7
- Actuality of litigation, § 2:6
- Advantages to corporate defendants, objections based on, § 2:1
- Agent of attorney, preparation by, § 2:4
- Agents' opinions as, § 2:2
- Anticipation of litigation
  - Generally, § 2:5
  - Accident reports, § 2:7
  - Actuality of litigation, § 2:6
  - Arbitration, documents prepared for, § 2:8
  - But-for test, § 2:7
  - Dual purpose documents, § 2:7
  - Employee-counsel, mixed duties of, § 2:5
  - FRCP 26(b)(3), § 2:7
  - Immediacy of litigation, § 2:6

### WORK PRODUCT DOCTRINE—Cont'd

- Anticipation of litigation—Cont'd
  - In-house counsel, mixed duties of, § 2:5
  - Investigatory reports, § 2:7
  - Labeling of documents, § 2:6
  - Likelihood of litigation, § 2:6
  - Motivation for document's creation, § 2:6
  - Possibility of litigation, § 2:6
  - Prior litigation, documents prepared for, § 2:8
  - Public relations advice, § 2:6
  - Reasonable anticipation, § 2:6
- Arbitration, documents prepared for, § 2:8
- At-issue exception, § 2:14
- Attorney-client privilege distinguished, § 2:1
- Blanket assertions, § 2:1
- Choice of law, § 2:1
- Consultant's work products, § 2:4
- Corporate clients
  - Generally, § 2:1 et seq.
  - Agent-prepared documents, § 2:4
  - Purpose for which document prepared, § 2:4
  - Who may waive or assert privilege, § 2:10
- Criminal defense conflicts, § 6:21
- Derivative actions, § 2:13
- Document management systems, § 2:3
- Dual purpose documents, § 2:7
- Employee statements, § 2:13
- Ethics breaches, loss of protection through, § 2:9
- Exceptions
  - Generally, § 2:9
  - Crime-fraud exception, § 2:16
  - Employee statements, § 2:13
  - Substantial need and undue hardship, § 2:13
- Expert's work products, § 2:4
- Factual vs opinion work product
  - Generally, § 2:2
  - At-issue doctrine, § 2:14

## **WORK PRODUCT DOCTRINE**

### **—Cont’d**

Factual vs opinion work product  
     —Cont’d  
         Crime-fraud exception, § 2:16  
         Substantial need and undue hardship, § 2:13  
     Garner doctrine, § 2:13  
     Immediacy of litigation, § 2:6  
     Inadvertent waiver, § 2:11  
     Indiscriminate claims, § 2:1  
     Intangible records, § 2:3  
     Investigatory reports  
         Generally, § 2:2  
         Anticipation of litigation requirement, § 2:7  
         Undue hardship requests for, § 2:13  
     Likelihood of litigation, § 2:6  
     Litigation. Anticipation of litigation, above, § 2:5  
     Litigation supervision, § 4:3  
     Loss of privilege  
         Generally, § 2:9  
         Crime-fraud exception, § 2:16  
         Deliberate disclosures, § 2:12  
         Derivative actions, § 2:13  
         Ethics breaches, loss of protection through, § 2:9  
         Garner doctrine, § 2:13  
         Inadvertent waiver, § 2:11  
         Reasonable steps to protect, § 2:11  
         Regulatory agencies, disclosures to, § 2:12  
         Regulatory disclosures, § 2:12  
         Substantial need and undue hardship, § 2:13  
     Motivation for document’s creation, § 2:6  
     Multi-jurisdictional practice, ethical issues, § 3:2  
     Opinion. Factual vs opinion work product, above

## **WORK PRODUCT DOCTRINE**

### **—Cont’d**

Outside counsels’ activities, § 2:5  
     Possibility of litigation, § 2:6  
     Pre-litigation protection  
         Generally, § 2:6  
         Anticipation of litigation, above  
     Prepared by attorney or party, § 2:4  
     Prior litigation, documents prepared for, § 2:8  
     Privilege or doctrine, § 2:1  
     Property rights in privileged documents, § 6:16  
     Public relations advice, § 2:6  
     Purpose for which document prepared, § 2:4  
     Purpose of doctrine, § 2:5  
     State court rules, § 2:1  
     Strategies, § 2:2  
     Substantial need, § 2:13  
     Tangible and intangible records, § 2:3  
     Testimonial use, waiver by, § 2:15  
     Undue hardship, § 2:13  
     Waiver  
         Generally, § 2:9  
         See also Waiver of Privilege, this index  
         At-issue doctrine, § 2:14  
         Authority to waive, § 2:10  
         Conflicts of interest, § 2:10  
         Crime-fraud exception, § 2:16  
         Deliberate disclosures, § 2:12  
         Derivative actions, § 2:13  
         Garner doctrine, § 2:13  
         Inadvertent waiver, § 2:11  
         Reasonable steps to protect, § 2:11  
         Regulatory disclosures, § 2:12  
         Testimonial use, § 2:15  
         Who may waive, § 2:10  
     Witness affidavits, § 2:3  
     Witness interviews, § 2:2  
     Zone of privacy analysis, § 2:1