

Table of Contents

Volume 48

PART I. ATTORNEY TORT LIABILITY IN TEXAS

CHAPTER 1. THE ATTORNEY-CLIENT RELATIONSHIP

A. CREATING THE ATTORNEY-CLIENT RELATIONSHIP

- § 1:1 Characterizing the relationship
- § 1:2 Forming the relationship
- § 1:3 Inadvertent representation
- § 1:4 Declining representation
- § 1:5 Involuntary representation

B. TERMS OF ENGAGEMENT

- § 1:6 Terms to include
- § 1:7 Terms to exclude
- § 1:8 Arbitration agreements

C. AUTHORITY OF ATTORNEY

- § 1:9 In general
- § 1:10 Litigation
- § 1:11 Criminal cases
- § 1:12 Appeal

D. FEE AGREEMENTS AND LIMITATIONS ON FEES

- § 1:13 In general
- § 1:14 Litigation concerning unpaid attorney's fees
- § 1:15 Common counterclaims in attorney's fee litigation
- § 1:16 Attorney's fee awards under the common fund doctrine
- § 1:17 Attorney's fees awarded prevailing party pursuant to statute
- § 1:18 Divisions of fees between attorneys in different firms

E. TERMINATION OF REPRESENTATION

- § 1:19 Conclusion of the matter
- § 1:20 Discharge by client
- § 1:21 Termination by mutual agreement
- § 1:22 Withdrawal by lawyer
- § 1:23 Termination by operation of law

CHAPTER 2. LEGAL MALPRACTICE AND BREACH OF FIDUCIARY DUTY

A. AN OVERVIEW

- § 2:1 Malpractice
- § 2:2 Breach of fiduciary duty and the anti-fracturing rule
- § 2:3 Pleading other causes of action

B. MALPRACTICE

- § 2:4 An attorney–client relationship
- § 2:5 The standard of care
- § 2:6 Malpractice: A question of fact or a matter of law?
- § 2:7 Factors affecting the standard of care
- § 2:8 Causation
- § 2:9 Damages

C. BREACH OF FIDUCIARY DUTY

- § 2:10 The standard formulation of the fiduciary relationship
- § 2:11 Concerns with the standard formulation

D. BURROW V. ARCE

- § 2:12 *Arce v. Burrow*
- § 2:13 *Burrow v. Arce*
- § 2:14 Subsequent developments
- § 2:15 Analysis of *Burrow* and later cases
- § 2:16 Possible extensions of *Burrow*

CHAPTER 3. OTHER CAUSES OF ACTION

A. OTHER ACTIONS AVAILABLE ONLY TO CLIENTS

- § 3:1 Violation of the Texas rules
- § 3:2 Breach of contract
- § 3:3 Failure to follow client’s lawful instructions

TABLE OF CONTENTS

B. OTHER ACTIONS AVAILABLE TO CLIENTS OR NON CLIENTS

- § 3:4 Violations of the Texas rules as a basis for refusing to enforce an agreement
- § 3:5 Violations of the Texas Deceptive Trade Practices Act
- § 3:6 Negligent misrepresentation
- § 3:7 Fraud and constructive fraud
- § 3:8 Civil conspiracy

C. OTHER ACTIONS AVAILABLE ONLY TO NON-CLIENTS

- § 3:9 Abuse of process
- § 3:10 Malicious prosecution
- § 3:11 Defamation
- § 3:12 Infliction of emotional distress
- § 3:13 Tortious interference
- § 3:14 Sanctions
- § 3:15 Spoliation of evidence
- § 3:16 Racketeer Influenced and Corrupt Organizations Act (RICO)

CHAPTER 4. DEFENSIVE ISSUES IN MALPRACTICE ACTIONS

A. STATUTE OF LIMITATIONS

- § 4:1 The general rule
- § 4:2 Applying the general rule to other causes of action
- § 4:3 Tolling the statute of limitations: The *Hughes/Apex Towing* rule
- § 4:4 Tolling the statute of limitations: Fraudulent concealment

B. OTHER DEFENSES

- § 4:5 Prematurity or abatement
- § 4:6 Availability of alternative remedy
- § 4:7 Contributory negligence and in pari delicto
- § 4:8 Assumption of risk
- § 4:9 Following client's instructions
- § 4:10 Non-assignability of claim
- § 4:11 Client's acceptance of settlement
- § 4:12 Waiver, abandonment or ratification
- § 4:13 Res judicata
- § 4:14 Collateral estoppel
- § 4:15 Estoppel, equitable estoppel, and judicial estoppel

- § 4:16 Other sole proximate cause: client's criminal or other
misconduct in underlying transaction
- § 4:17 Client's failure to mitigate damages
- § 4:18 Indemnity or contribution
- § 4:19 Immunity
- § 4:20 Privilege
- § 4:21 Release

PART II. THE TEXAS DISCIPLINARY RULES OF PROFESSIONAL CONDUCT

CHAPTER 5. INTRODUCTION AND PREAMBLE

A. INTRODUCTION

- § 5:1 Background
- § 5:2 General overview

B. PREAMBLE

- § 5:3 Preamble: A lawyer's responsibilities
- § 5:4 Preamble: Scope
- § 5:5 Terminology

CHAPTER 6. ARTICLE I. CLIENT-LAWYER RELATIONSHIP

- § 6:1 Rule 1.01 Competent and diligent representation
- § 6:2 Rule 1.02 Scope and objectives of representation
- § 6:3 Rule 1.03 Communication
- § 6:4 Rule 1.04 Fees
- § 6:5 Rule 1.05 Confidentiality of information
- § 6:6 Rule 1.06 Conflict of interest: General rule
- § 6:7 Rule 1.07 Conflict of interest: Intermediary
- § 6:8 Rule 1.08 Conflict of interest: Prohibited transactions
- § 6:9 Rule 1.09 Conflict of interest: Former client
- § 6:10 Rule 1.10. Imputation of Conflicts of Interest: General Rule
- § 6:11 Rule 1.11 Successive government and private employment
- § 6:12 Rule 1.12 Adjudicatory official or law clerk
- § 6:13 Rule 1.13 Organization as a client
- § 6:14 Rule 1.14 Conflicts: Public interest activities
- § 6:15 Rule 1.15 Safeguarding property

TABLE OF CONTENTS

- § 6:16 Rule 1.16 Declining or terminating representation
- § 6:17 Rule 1.17 Clients with diminished capacity
- § 6:18 Rule 1.18. Duties to Prospective Client

Table of Laws and Rules

Table of Cases

Index

Volume 48A

CHAPTER 7. ARTICLE II. COUNSELOR

- § 7:1 Rule 2.01 Advisor
- § 7:2 Rule 2.02 Evaluation for use by third persons

CHAPTER 8. ARTICLE III. ADVOCATE

- § 8:1 Rule 3.01 Meritorious claims and contentions
- § 8:2 Rule 3.02 Minimizing the burdens and delays of litigation
- § 8:3 Rule 3.03 Candor toward the tribunal
- § 8:4 Rule 3.04 Fairness in adjudicatory proceedings
- § 8:5 Rule 3.05 Maintaining impartiality of tribunal
- § 8:6 Rule 3.06 Maintaining integrity of jury system
- § 8:7 Rule 3.07 Trial publicity
- § 8:8 Rule 3.08 Lawyer as witness
- § 8:9 Rule 3.09 Special responsibilities of a prosecutor
- § 8:10 Rule 3.10 Advocate in nonadjudicative proceedings

CHAPTER 9. ARTICLE IV. NON-CLIENT RELATIONSHIPS

- § 9:1 Rule 4.01 Truthfulness in statements to others
- § 9:2 Rule 4.02 Communication with person represented by counsel
- § 9:3 Rule 4.03 Dealing with unrepresented person
- § 9:4 Rule 4.04 Respect for rights of third persons

CHAPTER 10. ARTICLE V. LAW FIRMS AND ASSOCIATIONS

- § 10:1 Rule 5.01 Responsibilities of a partner or supervisory lawyer
- § 10:2 Rule 5.02 Responsibilities of a supervised lawyer
- § 10:3 Rule 5.03 Responsibilities regarding nonlawyer assistants
- § 10:4 Rule 5.04 Professional independence of a lawyer
- § 10:5 Rule 5.05 Unauthorized Practice of Law; Remote Practice of Law

- § 10:6 Rule 5.06 Restrictions on right to practice
- § 10:7 Rule 5.08 Prohibited discriminatory activities

CHAPTER 11. ARTICLE VI. PUBLIC SERVICE

- § 11:1 Rule 6.01 Accepting appointments by a tribunal
- § 11:2 Rule 6.05 Conflict of interest exceptions for nonprofit and limited pro bono legal services

CHAPTER 12. ARTICLE VII. INFORMATION ABOUT LEGAL SERVICES

- § 12:1 Rule 7.01. Communications concerning a lawyer's services
- § 12:2 Rule 7.02 Advertisements
- § 12:3 Rule 7.03 Solicitation and other prohibited payments
- § 12:4 Rule 7.04 Filing requirements for advertising and solicitation communications
- § 12:5 Rule 7.05 Communications exempt from filing requirements
- § 12:6 Rule 7.06 Prohibited employment

CHAPTER 13. ARTICLE VIII. MAINTAINING THE INTEGRITY OF THE PROFESSION

- § 13:1 Rule 8.01 Bar admission, reinstatement, and disciplinary matters
- § 13:2 Rule 8.02 Judicial and legal officials
- § 13:3 Rule 8.03 Reporting professional misconduct
- § 13:4 Rule 8.04 Misconduct
- § 13:5 Rule 8.05 Jurisdiction

CHAPTER 14. ARTICLE IX. SEVERABILITY OF RULES

- § 14:1 Rule 9.01 Severability

PART III. TEXAS RULES OF DISCIPLINARY PROCEDURE

CHAPTER 15. INTRODUCTION TO DISCIPLINARY PROCEDURE

- § 15:1 Author's Introduction

CHAPTER 16. HISTORY OF THE RULES OF DISCIPLINARY PROCEDURE

- § 16:1 History

TABLE OF CONTENTS

- § 16:2 1990 Sunset Review
- § 16:3 2002 Sunset Review
- § 16:4 2004 Procedural Rules and Amendments
- § 16:5 Grievance Oversight Committee
- § 16:6 2016 Sunset Review
- § 16:7 2024 GOC Biennial Report and 2025 Abolition of the GOC

CHAPTER 17. A PRACTITIONER’S GUIDE TO THE RULES OF DISCIPLINARY PROCEDURE

- § 17:1 Introduction
- § 17:2 Directory of individuals and entities involved in the disciplinary process
 - § 17:3 —Rule makers
 - § 17:4 —Parties
 - § 17:5 —Adjudicators
 - § 17:6 —Service providers
- § 17:7 Glossary of terms
 - § 17:8 —Terms related to the initial grievance
 - § 17:9 —Terms related to adjudication of disciplinary litigation
- § 17:10 Resources regarding disciplinary procedure
 - § 17:11 —Texas ethics statutes, rules, and orders
 - § 17:12 —Disciplinary system entities and their internal rules
 - § 17:13 —Oversight entities
 - § 17:14 —Resources for understanding the attorney discipline system
 - § 17:15 —Other law review articles and CLE papers
- § 17:16 Disciplinary procedure for grievances alleging professional misconduct—Introduction
 - § 17:17 —Who may file
 - § 17:18 —Preparing and filing the grievance
 - § 17:19 — —Form of the grievance
 - § 17:20 — —Contents of the grievance
 - § 17:21 — —Filing the grievance
 - § 17:22 —Classification of grievances
 - § 17:23 — —Overview
 - § 17:24 — —Classification as inquiry
 - § 17:25 — —Classification as discretionary referral
 - § 17:26 — —Classification as complaint
 - § 17:27 —Responding to the complaint—Overview
 - § 17:28 — —Duty to respond and extensions
 - § 17:29 — —Contents of the response
 - § 17:30 — — —Introducing the respondent
 - § 17:31 — — —Factual overview
 - § 17:32 — — —Specific responses

HANDBOOK OF TEXAS LAWYER AND JUDICIAL ETHICS

- § 17:33 — — —Impeach the complainant, if appropriate
- § 17:34 — — —Prayer for relief
- § 17:35 — — —Exhibits
- § 17:36 — —Filing the response; replies and surreplies
- § 17:37 —Just cause determination
- § 17:38 — —Deadlines
- § 17:39 — —Investigation
- § 17:40 — —Investigatory hearing
- § 17:41 — —Grievance referral program
- § 17:42 —Summary disposition
- § 17:43 —Finding of just cause; election of forum for disciplinary proceeding; interim suspension; settlement deliberations
- § 17:44 —Hearing before evidentiary panel—Appointment of evidentiary panel
- § 17:45 — —Evidentiary petition
- § 17:46 — —Service of the evidentiary petition; answer; default
- § 17:47 — —Scheduling the evidentiary hearing; mandatory alternative dispute resolution
- § 17:48 — —Discovery
- § 17:49 — —Subpoenas for hearing
- § 17:50 — —Evidentiary hearing
- § 17:51 — —Evidentiary panel decision
- § 17:52 —Trial in district court—Notice to administrative judge
- § 17:53 — —Venue
- § 17:54 — —Assignment of district court judge
- § 17:55 — —Docketing and service of the disciplinary petition; answer
- § 17:56 — —Settlement
- § 17:57 — —Discovery
- § 17:58 — —Right to jury trial; trial setting
- § 17:59 — —Trial procedure
- § 17:60 —Sanctions—Generally
- § 17:61 — —Client security fund
- § 17:62 — —Considerations for sanctions—Overview
- § 17:63 — —“Generally appropriate” sanctions
- § 17:64 — —Aggravating and mitigating circumstances
- § 17:65 — —Availability of private reprimand
- § 17:66 — —Review of sanctions
- § 17:67 —Judgment
- § 17:68 —Post-judgment proceedings—Post-judgment procedures
- § 17:69 — —Petition to stay suspension pending appeal
- § 17:70 — —Revocation of probated suspension
- § 17:71 — —Motion to revoke probation
- § 17:72 —Appeals—Appeals from district court judgment
- § 17:73 — —Appeals from evidentiary panel judgment

TABLE OF CONTENTS

§ 17:74	—Enforcement of judgments
§ 17:75	—Resignation in lieu of discipline
§ 17:76	—Reinstatement after disbarment or resignation in lieu of discipline
§ 17:77	— —Waiting periods
§ 17:78	— —Predicates for reinstatement
§ 17:79	— —Petition; service of petition and notice to the profession
§ 17:80	— —Litigating the petition for reinstatement
§ 17:81	— —Judgment of the court
§ 17:82	— —Appeal; stay pending appeal
§ 17:83	— —Readmission
§ 17:84	Compulsory discipline—Overview
§ 17:85	—Duty to self-report
§ 17:86	—Intentional crimes
§ 17:87	—Forum for compulsory discipline proceedings
§ 17:88	—forum for compulsory discipline proceedings—Interim suspension proceedings in district court
§ 17:89	—Elements of petition; proof of elements
§ 17:90	—Evidentiary proceedings before BODA
§ 17:91	—Implications of pending criminal appeal
§ 17:92	—Sanctions
§ 17:93	—Appeal from compulsory discipline
§ 17:94	—Outcome of criminal case probation
§ 17:95	Reciprocal discipline—Generally
§ 17:96	—Initiating reciprocal discipline
§ 17:97	—Discovery of discipline imposed against an attorney by other jurisdictions
§ 17:98	— —Self-reporting requirement
§ 17:99	— —Periodic searches of the National Lawyer Regulatory Data Bank
§ 17:100	—Notice to respondent and deadlines
§ 17:101	—Proving the other jurisdiction’s discipline
§ 17:102	—Answering the petition
§ 17:103	—Default discipline
§ 17:104	—BODA responsibilities
§ 17:105	—Appeal
§ 17:106	Disability suspension—Overview
§ 17:107	—“Disability” defined; raising disability; confidentiality
§ 17:108	—Screening and assignment of disability grievance
§ 17:109	—District disability committee proceedings
§ 17:110	—Reinstatement—Initiation; confidentiality; venue
§ 17:111	— —Discovery
§ 17:112	— —Evidentiary proceeding
§ 17:113	— —Judgment

- § 17:114 —Disability Probation
- § 17:115 —Disability probation—Appeals
- § 17:116 Cessation of practice—Generally
- § 17:117 —Seeking court assumption of jurisdiction over law practice
- § 17:118 —Appointment of custodian attorney; custodian attorney’s designated duties; Termination of Custodianship
- § 17:119 Confidentiality
- § 17:120 Access to confidential information
- § 17:121 Effect of disciplinary action on other litigation
- § 17:122 Limitations
- § 17:123 Other matters in the Rules of Disciplinary Procedure—Residence
- § 17:124 Immunity
- § 17:125 Maintenance of funds or other property held for clients and others

CHAPTER 18. PROCEDURAL RULES, PROPOSED CHANGES, AND LEGISLATIVE ALTERATIONS

- § 18:1 General observations
- § 18:2 Referendum '98
- § 18:3 Legislative action
- § 18:4 Procedural guidelines
- § 18:5 Applicable case law
- § 18:6 —Determination of inquiry or complaint
- § 18:7 — —Initial classification
- § 18:8 — —What comprises a complaint?
- § 18:9 — —“Complaint” filed by Advertising Review Committee
- § 18:10 — —Complaint initiated by Commission for Lawyer Discipline
- § 18:11 — —Complaints added after initial petition
- § 18:12 —Just cause
- § 18:13 — —Inferential just cause
- § 18:14 — —Just cause as to what?
- § 18:15 — —Committee quorum
- § 18:16 — —No just cause finding and statute of limitations
- § 18:17 — —Limitations on determining prosecutorial misconduct
- § 18:18 —Failure to respond
- § 18:19 —After just cause—Jurisdictional, procedural, and evidentiary matters
- § 18:20 —After just cause; jurisdictional, procedural, and evidentiary matters—Pleading specification

TABLE OF CONTENTS

- § 18:21 — —Connection between pleadings and alleged or adduced evidence
- § 18:22 — —Jurisdictional arguments based on timing
- § 18:23 — —Other procedural and jurisdictional issues
- § 18:24 — —Issues with assigned judge or panel or committee chair
- § 18:25 — —Burden of proof
- § 18:26 — —Evidence
- § 18:27 — —Res judicata and collateral estoppel
- § 18:28 — —Suits against the Commission
- § 18:29 — —Complainant versus plaintiff
- § 18:30 — —Suspension pending appeal or trial
- § 18:31 — —Sanctions (including restitution and payment of attorneys’ fees)—Attorneys’ fees and restitution
- § 18:32 — —Determination of sanctions
- § 18:33 — —Reinstatement
- § 18:34 — —Reciprocal discipline
- § 18:35 — —Public access and confidentiality

CHAPTER 19. COMPULSORY DISCIPLINE

§ 19:1 “Intentional crime”

§ 19:2 Suspension

Appendix A. Texas Disciplinary Rules Of Professional Conduct

Appendix A-1. Former Part VII, Texas Disciplinary Rules of Professional Conduct

Appendix B. Texas Rules of Disciplinary Procedure (Including Amendments Effective October 1, 2024)

Appendix C. Texas Rules of Disciplinary Procedure (Pre–2004)

Appendix D. 2003 New State Bar Act

Appendix E. Revised Attorney Grievance Process (As Proposed By Sunset Commission); Revised Attorney Grievance Process (As Reflected in 2003 New State Bar Act)

Appendix F. Texas Attorney Grievance System (pre-2004 Rules)

Appendix G. Grievance System Flowchart (post-2004 Rules)

Appendix H. State Bar Act (as of Sept. 1, 2023)

Appendix I. 2017 Texas Session Law Service

Appendix J. Sanctions Chart by Mental State and Injury Caused

Table of Laws and Rules

Table of Cases

Index

Volume 48B

**PART IV. THE TEXAS CODE OF
JUDICIAL CONDUCT**

CHAPTER 20. INTRODUCTION

§ 20:1 Introduction

**CHAPTER 21. HISTORY OF THE STATE
COMMISSION ON JUDICIAL CONDUCT AND
THE TEXAS CODE OF JUDICIAL CONDUCT**

§ 21:1 The State Commission on Judicial Conduct

§ 21:2 The Texas Code of Judicial Conduct

**CHAPTER 22. THE TEXAS COMMISSION ON
JUDICIAL CONDUCT COMPOSITION AND
OUTCOMES**

§ 22:1 Composition of the Commission Over Past Decades

§ 22:2 Changes in the Commission

§ 22:3 Governing Provisions

§ 22:4 Possible Outcomes of Commission Review

**CHAPTER 23. JUDICIAL CANONS AND
PROCEDURAL RULES**

§ 23:1 Treatment of the Canons

§ 23:2 Treatment of the Procedural Rules

CHAPTER 24. PREAMBLE

§ 24:1 ABA comparison

§ 24:2 History

§ 24:3 Commentary to the Preamble

**CHAPTER 25. CANON 1 UPHOLDING THE IN-
TEGRITY AND INDEPENDENCE OF THE JUDI-
CIARY**

§ 25:1 ABA comparison

§ 25:2 History

§ 25:3 Commentary to Canon 1—Generally

§ 25:4 Inappropriate oral remarks

§ 25:5 Involvements with elections

TABLE OF CONTENTS

- § 25:6 Alleged bias
- § 25:7 Improper judicial acts
- § 25:8 Other improper behavior

CHAPTER 26. CANON 2 AVOIDING IMPROPRIETY AND THE APPEARANCE OF IMPROPRIETY IN ALL OF THE JUDGE'S ACTIVITIES

- § 26:1 ABA comparison
- § 26:2 History
- § 26:3 Commentary to Canon 2—Generally
- § 26:4 Paragraph A: Complying with the law and promoting public confidence
 - § 26:5 —Texas case law
 - § 26:6 —Public sanctions in Texas
 - § 26:7 —Public sanctions in Texas: Promoting public confidence
 - § 26:8 —Public sanctions in Texas: Not complying with the law in general
 - § 26:9 —Public sanctions in Texas: Not “complying” with the law in its application
 - § 26:10 —Public sanctions in Texas: Not “complying” with the law in personal behavior
 - § 26:11 —Texas Advisory Opinions
 - § 26:12 —Case law elsewhere
 - § 26:13 Paragraph B: Permitting or conveying the influence of others
 - § 26:14 —Texas case law
 - § 26:15 —Public sanctions in Texas
 - § 26:16 — —Activities for judge’s private interests
 - § 26:17 — —Activities for interests of others
 - § 26:18 — —Activities suggesting influence by others
 - § 26:19 —Texas advisory opinions
 - § 26:20 Paragraph B: Testifying as a character witness
 - § 26:21 Paragraph C: Prohibiting membership in discriminatory organizations

CHAPTER 27. CANON 3 PERFORMING THE DUTIES OF JUDICIAL OFFICE IMPARTIALLY AND DILIGENTLY

- § 27:1 ABA comparison
- § 27:2 History
- § 27:3 Commentary to Canon 3—Generally
- § 27:4 Paragraph A: Precedence of judicial activities

HANDBOOK OF TEXAS LAWYER AND JUDICIAL ETHICS

- § 27:5 Paragraph B: Adjudicative responsibilities
- § 27:6 —(1) hearing matters assigned
- § 27:7 —(2) being faithful to the law
- § 27:8 — —Texas case law
- § 27:9 — —Public sanctions in Texas
- § 27:10 — —Texas advisory opinions
- § 27:11 — —Case law elsewhere
- § 27:12 —(3) requiring order and decorum during courtroom proceedings
- § 27:13 — —Texas case law
- § 27:14 — —Public sanctions in Texas
- § 27:15 — —Case law elsewhere
- § 27:16 —(4) being patient, dignified, and courteous to those dealt with in an official capacity
- § 27:17 — —Texas case law
- § 27:18 — —Public sanctions in Texas
- § 27:19 — —Texas advisory opinions
- § 27:20 — —Case law elsewhere
- § 27:21 —(5), (6), (7) prohibiting bias
- § 27:22 — —Texas case law
- § 27:23 — —Public sanctions in Texas
- § 27:24 — —Texas advisory opinions
- § 27:25 —(8) according every person right to be heard and avoiding ex parte communications
- § 27:26 — —Texas case law
- § 27:27 — —Public sanctions in Texas
- § 27:28 — —Texas advisory opinions
- § 27:29 — —Case law elsewhere
- § 27:30 —(9) disposing of judicial matters promptly, efficiently, and fairly
- § 27:31 —(10) abstaining from public comment on pending or impending proceeding
- § 27:32 — —Texas case law
- § 27:33 — —Public sanctions in Texas
- § 27:34 — —Texas advisory opinions
- § 27:35 — —Case law elsewhere
- § 27:36 —(11) abstaining from public comment on pending or impending proceeding—Keeping confidential nonpublic information acquired in a judicial capacity
- § 27:37 Paragraph C: Administrative responsibilities
- § 27:38 —(1) disposing of administrative matters diligently, promptly, and fairly
- § 27:39 —(2) requiring those subject to the judge’s direction and control to exercise fidelity and diligence of the judge in the performance of their duties

TABLE OF CONTENTS

- § 27:40 —(3) advising that supervising judges require prompt disposition of matters of judges they direct
- § 27:41 —(4) making appointments and approving compensation
- § 27:42 —(5) complying with Rule 12 of the Rules of Judicial Administration
- § 27:43 Paragraph D: Disciplinary responsibilities
- § 27:44 —(1) acting on information of a judge’s Code violations
- § 27:45 —(2) acting on information of a lawyer’s Disciplinary Rules violations

CHAPTER 28. CANON 4 CONDUCTING THE JUDGE’S EXTRAJUDICIAL ACTIVITIES TO MINIMIZE THE RISK OF CONFLICT WITH JUDICIAL OBLIGATIONS

- § 28:1 ABA comparison
- § 28:2 History
- § 28:3 Commentary to Canon 4—Generally
- § 28:4 Paragraph A: Extra-judicial duties and paragraph B: Activities to improve the law
- § 28:5 Paragraph A: Extra-judicial duties and paragraph B: Activities to improve the law—Texas case law
- § 28:6 —Public sanctions in Texas
- § 28:7 —Texas advisory opinions
- § 28:8 —Case law elsewhere
- § 28:9 Paragraph C: Civic or charitable activities
- § 28:10 —Prohibition on service for an organization likely to be in court
- § 28:11 —Prohibition on soliciting funds
- § 28:12 —Prohibition on giving investment advice
- § 28:13 Paragraph D: Financial activities
- § 28:14 —Refraining from certain financial and business activities
- § 28:15 — —Texas case law
- § 28:16 — —Public sanctions and advisory opinions in Texas
- § 28:17 —Managing investments and operating businesses
- § 28:18 —Eliminating financial interests that may cause frequent disqualification
- § 28:19 —Accepting gifts, favors, or loans
- § 28:20 Paragraph E: Fiduciary activities
- § 28:21 Paragraph F: Serving as arbitrator or mediator
- § 28:22 Paragraph G: The practice of law
- § 28:23 —Texas case law and public sanctions
- § 28:24 —Texas advisory opinions
- § 28:25 —Case law elsewhere
- § 28:26 Paragraph H: Extra-judicial appointments

§ 28:27 Paragraph I: Compensation, reimbursement, reporting

CHAPTER 29. CANON 5 REFRAINING FROM INAPPROPRIATE POLITICAL ACTIVITY

- § 29:1 ABA comparison
- § 29:2 History
- § 29:3 Commentary to Canon 5—Generally
- § 29:4 Paragraph 1(i) (and Canon 3B(10)): Prohibition on public comments about existing or impending cases
- § 29:5 Paragraph 1(I) (and Canon 3B(10)): Prohibition on public comments about existing or impending cases—Public sanctions in Texas
- § 29:6 Paragraph 1(I) (and Canon 3B(10)): Prohibition on public comments about existing or impending cases—Texas advisory opinions
- § 29:7 —Case law elsewhere
- § 29:8 Paragraph 1: Prohibition on (i) pledges and (ii) knowing or reckless inaccurate comments
- § 29:9 —Texas case law: the Howell litigation
- § 29:10 —Public sanctions and advisory opinions in Texas
- § 29:11 —The gag rule elsewhere
- § 29:12 —Misrepresentations in campaign literature in Texas and elsewhere
- § 29:13 Paragraph 2: Prohibition on public endorsement of another candidate for any public office
- § 29:14 —Texas case law
- § 29:15 —Public sanctions in Texas
- § 29:16 —Texas advisory opinions
- § 29:17 —Case law elsewhere
- § 29:18 Paragraph 3: The resign-to-run rule
- § 29:19 —Texas case law and public sanctions
- § 29:20 —Case law elsewhere
- § 29:21 Paragraph 4: Compliance with the Judicial Campaign Fairness Act

CHAPTER 30. CANON 6 COMPLIANCE WITH THE CODE OF JUDICIAL CONDUCT

- § 30:1 ABA comparison
- § 30:2 History
- § 30:3 Commentary to Canon 6—Generally
- § 30:4 Paragraph A: Full-time justices, judges, commissioners, masters, magistrates, and referees
- § 30:5 Paragraph B: County judges
- § 30:6 Paragraph C: Justices of the peace and municipal court judges

TABLE OF CONTENTS

- § 30:7 Paragraph D: Part-time commissioner, master, magistrate,
or referee of court in Canon 6A(1) and paragraph E:
Temporary judges
- § 30:8 Paragraph F: Senior or retired judges subject to assignment
- § 30:9 Paragraph G: Candidates for judicial office and paragraph
H: Attorneys

CHAPTER 31. CANON 7 EFFECTIVE DATE OF COMPLIANCE

- § 31:1 ABA comparison
- § 31:2 History
- § 31:3 Commentary to Canon 7

CHAPTER 32. CANON 8 CONSTRUCTION AND TERMINOLOGY OF THE CODE

- § 32:1 ABA comparison
- § 32:2 History
- § 32:3 Commentary to Canon 8

PART V. PROCEEDINGS BEFORE THE TEXAS COMMISSION ON JUDICIAL CONDUCT

CHAPTER 33. INTRODUCTION

- § 33:1 Introduction

CHAPTER 34. PROCEDURAL GUIDELINES IN CHAPTER 33 OF THE GOVERNMENT CODE AND THE JUDICIAL RULES

- § 34:1 Procedural Guidelines

CHAPTER 35. PROCEEDINGS BEFORE THE COMMISSION, PER THE ANNUAL REPORTS

- § 35:1 General observations
- § 35:2 The complaint process: Post 2012 Sunset Review

CHAPTER 36. PROCEEDINGS BEFORE THE COMMISSION

- § 36:1 Public sanction without an informal appearance
- § 36:2 Informal proceedings before the commission

- § 36:3 Formal proceedings before the commission or special master
- § 36:4 Commission decisions appealed to special court of review
- § 36:5 Removal decisions
- § 36:6 Voluntary resignation
- § 36:7 Suspension
- § 36:8 Conclusion

Table of Laws and Rules

Table of Cases

Index

Volume 48C

**PART VI. REMOVAL OF JUDGES FROM
PARTICULAR CASES IN TEXAS
STATE COURT**

CHAPTER 37. INTRODUCTION

- § 37:1 Introduction

CHAPTER 38. HISTORY

- § 38:1 Texas constitutional provisions
- § 38:2 Federal provisions
- § 38:3 Codes of judicial conduct
- § 38:4 Texas statutory provisions
- § 38:5 Texas Rule of Civil Procedure 18

CHAPTER 39. THE FEDERAL GUIDELINES

- § 39:1 *Liteky v. United States*
- § 39:2 “Disqualification” vs. “recusal”
- § 39:3 “Extrajudicial source” doctrine
- § 39:4 *United States v. Cooley*
- § 39:5 *Caperton v. Massey Coal*

**CHAPTER 40. REMOVAL OF JUDGES FROM
TEXAS CASES**

- § 40:1 Disqualification
- § 40:2 —Previously serving as counsel in a civil case
- § 40:3 —Interest in the controversy: legal representation and lawsuits
- § 40:4 — —Suits filed against a judge

TABLE OF CONTENTS

§ 40:5	— — Relationships of the judge with lawyers
§ 40:6	— — Uncharacteristic “interest” of a judge
§ 40:7	— Interest in the controversy: business and other involvements
§ 40:8	— Relationship to a party
§ 40:9	— Previously serving as counsel in a criminal case
§ 40:10	— Party to a suit
§ 40:11	— — Criminal cases
§ 40:12	— — Civil cases
§ 40:13	— Bias
§ 40:14	— — <i>McClenan v. State</i> and its progeny
§ 40:15	— — — Wrestling with <i>McClenan</i> in criminal cases
§ 40:16	— — — The due process puzzle
§ 40:17	— — — Extension to civil cases
§ 40:18	— — — Where things now stand
§ 40:19	— — <i>Kniatt v. State</i>
§ 40:20	— — <i>Ex parte Hood</i>
§ 40:21	Procedure for disqualification
§ 40:22	— Prior Tex. R. Civ. P. 18a(a): the 10-day requirement, verified motion, and grounds; current Tex. R. Civ. P. 18a(a) & (b)
§ 40:23	— Prior Tex. R. Civ. P. 18a(b): the 3-day notice of presentation of motion; current Tex. R. Civ. P. 18a(d) & (e)
§ 40:24	— Prior Tex. R. Civ. P. 18a(c), (d): recusal or referral to presiding judge; current Tex. R. Civ. P. 18a(f) & (g)
§ 40:25	— Prior Tex. R. Civ. P. 18a(e): filing at earliest practicable time; current Tex. R. Civ. P. 18a(b)
§ 40:26	— Prior Tex. R. Civ. P. 18a(f): review for abuse of discretion; current Tex. R. Civ. P. 18a(j)
§ 40:27	— Prior Tex. R. Civ. P. 18a(g): appointment and assignment of judges by chief justice; current Tex. R. Civ. P. 18a(i)
§ 40:28	— Prior Tex. R. Civ. P. 18a(h): sanctions pursuant to a motion to recuse; current Tex. R. Civ. P. 18a(h)
§ 40:29	— Appellate court judges
§ 40:30	Effect of disqualification
§ 40:31	Recusal
§ 40:32	— Impartiality might reasonably be questioned
§ 40:33	— — <i>Keene Corp. v. Rogers</i>
§ 40:34	— — <i>Rogers v. Bradley</i>
§ 40:35	— — Courtroom events and “extrajudicial source”
§ 40:36	— — — Case law regarding rulings
§ 40:37	— — — Rationale for admitting rulings in recusal motions
§ 40:38	— — — Thwarting intent of revised Rules 18a and 18b

HANDBOOK OF TEXAS LAWYER AND JUDICIAL ETHICS

- § 40:39 — — — *Kniatt v. State*
- § 40:40 — — — *Alpert v. Gerstner*
- § 40:41 — — — *In re Edington*
- § 40:42 — — — Campaign contributions and political support—
Question of impartiality
- § 40:43 — — — Requirement of bias
- § 40:44 — — — Political activities
- § 40:45 — — — The free speech problem and the recusal solution
- § 40:46 — — — The code for U.S. judges
- § 40:47 — — — Other scenarios
- § 40:48 — — — Personal bias or prejudice or personal knowledge
- § 40:49 — — — Personal experiences of judge
- § 40:50 — — — Judicial experiences of judge
- § 40:51 — — — Party versus attorney for party
- § 40:52 — — — Standard in recusal hearing versus standard on
appeal
- § 40:53 — — — Courtroom events
- § 40:54 — — — Significant criminal opinions
- § 40:55 — — — Problematic judicial actions in civil cases
- § 40:56 — — — Disclosure
- § 40:57 — — — Comments
- § 40:58 — — — Bias in whose estimation?
- § 40:59 — — — Waiver of bias on appeal?
- § 40:60 — — — “Extrajudicial source”
- § 40:61 — — — Bias or prejudice
- § 40:62 — — — Knowledge from prior cases/judicial proceedings
- § 40:63 — — — Knowledge not from prior cases/judicial
proceedings
- § 40:64 — — — Ex parte communications
- § 40:65 — — — Proper judicial handling of ex parte
communications
- § 40:66 — — — Standard in recusal hearing versus standard on
appeal
- § 40:67 — — — Consideration of ex parte communications for
recusal
- § 40:68 — — — Consideration of ex parte communications on
appeal
- § 40:69 — — — Other relationships
- § 40:70 — — — Material witness or public opinion concerning the
proceeding
- § 40:71 — — — Financial or other interest in proceeding
- § 40:72 — — — Familial relationship
- § 40:73 — — — Procedure for recusal
- § 40:74 — — — Requirement for a motion, timely filed
- § 40:75 — — — Recusal—Procedure for recusal—Requirement for a
motion, timely filed—Sua sponte recusal

TABLE OF CONTENTS

§ 40:76	— — —Oral motion/recusal
§ 40:77	— — —Standing
§ 40:78	Procedure for recusal—Prior Tex. R. Civ. P. 18a(a) and 18a(e): the 10-day requirement and exceptions; current Tex. R. Civ. P. 18a(b)
§ 40:79	— — —Whether trial judge determines timeliness
§ 40:80	— — —Issues in assessing timeliness
§ 40:81	— — —10 days not available
§ 40:82	— — —Information not known earlier
§ 40:83	— — —Self-recusal
§ 40:84	—Prior Tex. R. Civ. P. 18a(a): Stated grounds; current Tex. R. Civ. P. 18a(a)
§ 40:85	—Prior Tex. R. Civ. P. 18a(a): Verified motion; current Tex. R. Civ. P. 18a(a)
§ 40:86	—Prior Tex. R. Civ. P. 18a(b): Presentment; current Tex. R. Civ. P. 18a(d) & (e)
§ 40:87	—Prior Tex. R. Civ. P. 18a(c) and (d): Recusal or referral; current Tex. R. Civ. P. 18a(f) & (g)—the key distinction between federal and state provisions—Required actions
§ 40:88	Recusal—Procedure for recusal—Prior Tex. R. Civ. P. 18a(c) and(d): Recusal or Referral; current Tex. R. Civ. P. 18a(f) & (g)—the key distinction between federal and state provisions—Required actions—Alternatives for judge on receipt of recusal motion
§ 40:89	— — — —Possible outcomes after filing mandamus
§ 40:90	— — —Prior Tex. R. Civ. P. 18a(c) and (d): Recusal or Referral; current Tex. R. Civ. P. 18a(f) & (g)—the key distinction between federal and state provisions—Required actions—Appeal based on mishandled recusal motion
§ 40:91	— — —Prior Tex. R. Civ. P. 18a(c) and(d): Recusal or Referral; current Tex. R. Civ. P. 18a(f) & (g)—the key distinction between federal and state provisions—Required actions—The special case of habeas corpus proceedings
§ 40:92	Procedure for recusal—Prior Tex. R. Civ. P. 18a(c) and (d): Recusal or Referral; current Tex. R. Civ. P. 18a(f) & (g)—the key distinction between federal and state provisions—The “good cause” exception
§ 40:93	Procedure for recusal—Prior Tex. R. Civ. P. 18a(f); current Tex. R. Civ. P. 18a(j)—Review
§ 40:94	—How often a movant may file
§ 40:95	—Prior Tex. R. Civ. P. 18a(g): appointment and assignment of judges by chief justice; current Tex. R. Civ. P. 18a(i)
§ 40:96	—Prior Tex. R. Civ. P. 18a(h): sanctions; current Tex. R. Civ. P. 18a(h)

HANDBOOK OF TEXAS LAWYER AND JUDICIAL ETHICS

- § 40:97 —Appellate court judges
- § 40:98 —Statutory probate courts
- § 40:99 — —September 1, 1997, statute
- § 40:100 — —September 1, 2007, statute
- § 40:101 — —September 1, 2009, statute
- § 40:102 — —September 1, 2015, Statute
- § 40:103 — —September 1, 2019, Statute
- § 40:104 — —*Other guidelines*
- § 40:105 —Justices of the peace
- § 40:106 Procedure for Recusal—Municipal court judges
- § 40:107 Effect of recusal—Tex. R. Civ. P. 18a(c): void actions
- § 40:108 Effect of recusal—Prior Tex. R. Civ. P. 18a(f); current Tex. R. Civ. P. 18a(j): review
- § 40:109 Statutory strikes/assigned judges
- § 40:110 Statutory strikes—Tex. Gov’t Code Ann. § 74.053(a): assigned judge
- § 40:111 — —Interaction of § 74.053 assignment with other statutory provisions
- § 40:112 — —Recusing a judge assigned under § 74.053 to hear recusal
- § 40:113 — —Tex. Gov’t Code Ann. § 74.053(b): civil cases only
- § 40:114 — —Tex. Gov’t Code Ann. § 74.053(b) and (c): timeliness
- § 40:115 — —Tex. Gov’t Code Ann. § 74.053(a): assigned judge— Application of plain language of statute
- § 40:116 — —Relevance of scope of assignment
- § 40:117 — —Transfer versus assignment by presiding regional judge
- § 40:118 — —Recusal of assigned judge
- § 40:119 — —Tex. Gov’t Code Ann. § 74.053(b) and (f): “filing” an objection
- § 40:120 — —Tex. Gov’t Code Ann. § 74.053(b), (d), and (e): existing judge or “former” judge
- § 40:121 — —Tex. Gov’t Code Ann. § 74.053(g): “party”
- § 40:122 — —Tex. Gov’t Code Ann. § 74.053: remedy if a judge continues to sit
- § 40:123 — —Tex. Gov’t Code Ann. § 74.053: effect of a judge continuing to sit
- § 40:124 Associate judges
- § 40:125 Procedural irregularities

CHAPTER 41. CONCLUSION

§ 41:1 Conclusion

Appendix K. Tex Code Jud Conduct (As amended by the Supreme Court of Texas through September 1, 2024)

TABLE OF CONTENTS

- Appendix L. Amended Canon 5, Texas Code of Judicial Conduct
- Appendix M. West’s Texas Rules of Court Rules for Removal or Retirement of Judges
- Appendix N. State Commission on Judicial Conduct (Texas Government Code—Chapter 33; Chapter 34)
- Appendix O. SB 209 and SJR 42
- Appendix P. Judicial Complaint Process Flowchart
- Appendix Q. Texas Constitution, Article V, Section 1-a

Table of Laws and Rules

Table of Cases

Index