Rule 7.1. Communications Concerning a Lawyer's Services. 1 (a) A lawyer shall not make a false or misleading communication about the lawyer or 2 the lawyer's services. A communication is false or misleading if it: 3 (a1) contains a material misrepresentation of fact or law, or omits a fact necessary 4 to make the statement considered as a whole not materially misleading; 5 (b2) is likely to create an unjustified or unreasonable expectation about results 6 7 the lawyer can achieve or has achieved; or $(\epsilon 3)$ contains a testimonial or endorsement that violates any portion of this Rule. 8 (b) A lawyer shall not interact with a prospective client in a manner that involves 9 coercion, duress, or harassment. 10 Comments 11 [1] This Rule governs all communications about a lawyer's services, including 12 advertising permitted by Rule 7.2. Whatever means are used to make known a 13 lawyer's services, statements about them must be truthful. 14 [2] Truthful statements that are misleading are also prohibited by this Rule. A truthful 15 statement is misleading if it omits a fact necessary to make the lawyer's communication 16 17 considered as a whole not materially misleading. A truthful statement is also 18 misleading if there is a substantial likelihood that it will lead a reasonable person to 19 formulate a specific conclusion about the lawyer or the lawyer's services for which there is no reasonable factual foundation. 20 [3] By way of example, this Rule permits the following, so long as they are not false or 21 misleading: public dissemination of information concerning a lawyer's name or firm 22 name, address, email address, website, and telephone number; the kinds of services the 23 lawyer will undertake; the basis on which the lawyer's fees are determined, including 24 prices for specific services and payment and credit arrangements; the use of actors or 25 dramatizations to portray the lawyer, law firm, client, or events; the courts or 26

27 jurisdictions where the lawyer is permitted to practice, and other information that
28 might invite the attention of those seeking legal assistance.

[4] An advertisement that truthfully reports a lawyer's achievements on behalf of clients 29 or former clients may be misleading if presented so as to lead a reasonable person to 30 form an unjustified expectation that the same results could be obtained for other clients 31 in similar matters without reference to the specific factual and legal circumstances of 32 33 each client's case. Similarly, an unsubstantiated comparison of the lawyer's services or fees with the services or fees of other lawyers may be misleading if presented with such 34 specificity as would lead a reasonable person to conclude that the comparison can be 35 substantiated. The inclusion of an appropriate disclaimer or qualifying language may 36 preclude a finding that a statement is likely to create unjustified expectations or 37 otherwise mislead the public. 38

39 [4] See also Rule 8.4(e) for the prohibition against stating or implying an ability to

40 influence improperly a government agency or official or to achieve results by means

41 that violate the Rules of Professional Conduct or other law.<u>5</u>] A lawyer can

42 <u>communicate practice areas and can state that he or she "specializes" in a field based on</u>

43 experience, training, and education, subject to the "false or misleading" standard set

44 <u>forth in this Rule. A lawyer shall not state or imply that the lawyer is certified as a</u>

45 specialist in a particular field unless the lawyer has been certified as a specialist by an

46 <u>objective entity and the name of the entity is clearly identified in the communication.</u>

47 [6] In order to avoid coercion, duress, or harassment, a lawyer should proceed with

48 <u>caution when initiating contact with someone in need of legal services, especially when</u>

49 <u>the contact is "live," whether that be in-person, face-to-face, live telephone and other</u>

50 <u>real-time visual or auditory person-to-person communications, where the person is</u>

51 <u>subject to a direct personal encounter without time for reflection</u>-

52 [7] Firm names, letterhead and professional designations are communications

53 <u>concerning a lawyer's services. A firm may be designated by the names of all or some of</u>

54 <u>its current members, by the names of deceased or retired members where there has</u>

55	been a succession in the firm's identity or by a trade name if it is not false or misleading.
56	A lawyer or law firm also may be designated by a distinctive website address, social
57	media username or comparable professional designation that is not misleading. A law
58	firm name or designation is misleading if it implies a connection with a government
59	agency, with a deceased lawyer who was not a former member of the firm, with a
60	lawyer not associated with the firm or a predecessor firm, with a nonlawyer or with a
61	public or charitable legal services organization. If a firm uses a trade name that includes
62	a geographical name such as "Springfield Legal Clinic," an express statement
63	explaining that it is not a public legal aid organization may be required to avoid a
64	misleading implication.
65	[8] A law firm with offices in more than one jurisdiction may use the same name or
66	other professional designation in each jurisdiction.
67	[9] Lawyers may not imply or hold themselves out as practicing together in one firm
68	when they are not a firm, as defined in Rule 1.0(d), because to do so would be false and
69	misleading.
70	[10] It is misleading to use the name of a lawyer holding public office in the name of a
71	law firm, or in communications on the law firm's behalf, during any substantial period
72	in which the lawyer is not practicing with the firm. A firm may continue to use in its
73	firm name the name of a lawyer who is serving in Utah's part-time legislature as long as
74	that lawyer is still associated with the firm.
75	[11] See Rules 5.3 (duties of lawyers and law firms with respect to the conduct of non-
76	lawyers); Rule 8.4(a) (duty to avoid violating the Rules through the acts of another); and
77	Rule 8.4(e) (prohibition against stating or implying an ability to influence improperly a
78	government agency or official or to achieve results by means that violate the Rules of
79	Professional Conduct or other law).
80	[4a12] The Utah Rule is different This Rule differs from the ABA Model Rule.

- 82 communications are false or misleading. Additional changes have been made to the
- 83 <u>comments.</u>

84 Rule 7.2. Advertising.

85 lawyer may pay the reasonable cost of advertising permitted by these Rules and

86 may pay the usual charges of a lawyer referral service or other legal service plan.

87 Comment

[1]To assist the public in learning about and obtaining legal services, lawyers should 88 be allowed to make known their services not only through reputation but also 89 through organized information campaigns in the form of advertising. Advertising 90 involves an active quest for clients, contrary to the tradition that a lawyer should not 91 seek clientele. However, the public's need to know about legal services can be 92 fulfilled in part through advertising. This need is particularly acute in the case of 93 persons of moderate means who have not made extensive use of legal services. The 94 interest in expanding public information about legal services ought to prevail over 95 considerations of tradition. Nevertheless, advertising by lawyers entails the risk of 96 practices that are misleading or overreaching. 97

[2] This Rule permits public dissemination of information concerning a lawyer's
 name or firm name, address, email address, website and telephone number; the
 kinds of services the lawyer will undertake; the basis on which the lawyer's fees are
 determined, including prices for specific services and payment and credit
 arrangements; a lawyer's foreign language ability; names of references and, with
 their consent, names of clients regularly represented; and other information that
 might invite the attention of those seeking legal assistance.

[3] Questions of effectiveness and taste in advertising are matters of speculation and
 subjective judgment. Some jurisdictions have had extensive prohibitions against
 television and other forms of advertising, against advertising going beyond
 specified facts about a lawyer or against "undignified" advertising. Television, the
 Internet and other forms of electronic communication are now among the most
 powerful media for getting information to the public, particularly persons of low

111	and moderate income; prohibiting television, Internet, and other forms of
112	electronic advertising, therefore, would impede the flow of information about legal
113	services to many sectors of the public. Limiting the information that may be
114	advertised has a similar effect and assumes that the Bar can accurately forecast the
115	kind of information that the public would regard as relevant. But see Rule 7.3(a) for
116	the prohibition against a solicitation through a real-time electronic exchange
117	initiated by the lawyer.
118	[4] Neither this Rule nor Rule 7.3 prohibits communications authorized by law, such
119	as notice to members of a class in class action litigation.
120	Paying Others to Recommend a Lawyer
121	[5] Except as permitted by Paragraph (f), lawyers are not permitted to pay others
122	for recommending the lawyer's services or for channeling professional work
123	-in a manner that violates Rule 7.3. A communication contains a recommendation if
124	it endorses or vouches for a lawyer's credentials, abilities, competence, character, or
125	other professional qualities. Paragraph (f), however, allows a lawyer to pay for
126	advertising and communications permitted by this Rule, including the costs of print
127	directory listings, on-line directory listings, newspaper ads, television and radio
128	airtime, domain-name registrations, sponsorship fees, Internet-based
129	advertisements and group advertising. A lawyer may compensate employees,
130	agents and vendors who are engaged to provide marketing or client-development
131	services, such as publicists, public-relations personnel, business-development staff
132	and website designers. Moreover, a lawyer may pay others for generating client
133	leads, such as Internet-based client leads, as long as the lead generator does not
134	recommend the lawyer, and any payment to the lead generator is consistent with the
135	lawyer's obligations under these rules. To comply with Rule 7.1, a lawyer must not
136	pay a lead generator that states, implies, or creates a reasonable impression that it is
137	recommending the lawyer, is making the referral without payment from the lawyer,
138	or has analyzed a person's legal problems when determining which lawyer should

receive the referral. See Rule 5.3 (duties of lawyers and law firms with respect to the
 conduct of non-lawyers); Rule 8.4(a) (duty to avoid violating the Rules through the
 acts of another).

[6] A lawyer may pay the usual charges of a legal service plan or a lawyer referral 142 service. A legal service plan is a prepaid or group legal service plan or a similar 143 delivery system that assists prospective clients to secure legal representation. A 144 145 lawyer referral service, on the other hand, is an organization that holds itself out to the public to provide referrals to lawyers with appropriate experience in the subject 146 matter of the representation. No fee generating referral may be made to any lawyer 147 or firm that has an ownership interest in, or who operates or is employed by, the 148 lawyer referral service, or who is associated with a firm that has an ownership 149 interest in, or operates or is employed by, the lawyer referral service. 150

[7] A lawyer who accepts assignments or referral from a legal service plan or 151 referrals from a lawyer referral service must act reasonably to assure that the 152 153 activities of the plan or service are compatible with the lawyer's professional obligations. See Rule 5.3. Legal service plans and lawyer referral services may 154 communicate with the public, but such communication must be in conformity with 155 these Rules. Thus, advertising must not be false or misleading, as would be the case 156 if the communications of a group advertising program or a group legal services plan 157 would mislead the public to think that it was a lawyer referral service sponsored by 158 a state agency or bar association. Nor could the lawyer allow in-person, telephonic, 159 or real-time contacts that would violate Rule 7.3. 160

161 [8] For the disciplinary authority and choice of law provisions applicable to
162 advertising, see Rule 8.5.

163 [8a] This Rule differs from the ABA Model Rule in that it defines "advertisement"

164 and places some limitations on advertisements. Utah Rule 7.2(b)(2) also differs from

165 the ABA Model Rule by permitting a lawyer to pay the usual charges of any lawyer

- 166 referral service. This is not limited to not-for-profit services. Comment [6] to the
- 167 Utah rule is modified accordingly.
- 168 <u>Reserved.</u>

170	Rule 7.3. Solicitation of Clients.
171	(a) A lawyer shall not by in-person, live telephone or real-time electronic contact solicit
172	professional employment from a prospective client when a significant motive for the
173	lawyer's doing so is the lawyer's pecuniary gain, unless the person contacted:
174	(a)(1) is a lawyer;
175	(a)(2) has a family, close personal, or prior professional relationship with the lawyer, or
176	(a)(3) is unable to make personal contact with a lawyer and the lawyer's contact with
177	the prospective client has been initiated by a third party on behalf of the prospective
178	client.
179	(b) A lawyer shall not solicit professional employment by written, recorded or
180	electronic communication or by in-person, live telephone or real-time electronic contact
181	even when not otherwise prohibited by paragraph (a), if:
182	(b)(1) the target of the solicitation has made known to the lawyer a desire not to be
183	solicited by the lawyer; or
184	(b)(2) the solicitation involves coercion, duress or harassment.
185	(c) Every written, recorded or electronic communication from a lawyer soliciting
186	professional employment from anyone known to be in need of legal services in a
187	particular matter shall include the words "Advertising Material" on the outside
188	envelope, if any, and at the beginning of any recorded or electronic communication,
189	unless the recipient of the communication is a person specified in paragraphs (a)(1) or
190	(a)(2). For the purposes of this subsection, "written communication" does not include
191	advertisement through public media, including but not limited to a telephone directory,
192	legal directory, newspaper or other periodical, outdoor advertising, radio, television or
193	webpage.
194	(d) Notwithstanding the prohibitions in paragraph (a), a lawyer may participate with a

195 prepaid or group legal service plan operated by an organization not owned or directed

- 196 by the lawyer that uses in-person or other real-time communication to solicit
- 197 memberships or subscriptions for the plan from persons who are not known to need
- 198 legal services in a particular matter covered by the plan.

199 Comment

[1] A solicitation is a targeted communication initiated by the lawyer that is directed to
 a specific person and that offers to provide, or can reasonably be understood as offering
 to provide, legal services. In contrast, a lawyer's communication typically does not
 constitute a solicitation if it is directed to the general public, such as through a billboard,
 an Internet banner advertisement, a website or a television commercial, or if it is in
 response to a request for information or is automatically generated in response to
 Internet searches.

[2] There is a potential for abuse when a solicitation involves direct in-person, live 207 telephone or real-time electronic contact by a lawyer with someone known to need 208 legal services. These forms of contact subject a person to the private importuning of the 209 trained advocate in a direct interpersonal encounter. The person, who may already feel 210 overwhelmed by the circumstances giving rise to the need for legal services, may find it 211 difficult fully to evaluate all available alternatives with reasoned judgment and 212 appropriate self-interest in the face of the lawyer's presence and insistence upon being 213 retained immediately. The situation is fraught with the possibility of undue influence, 214 intimidation, and over-reaching. 215

[3] This potential for abuse inherent in direct in-person, live telephone or real-time 216 electronic solicitation justifies its prohibition, particularly since lawyers have alternative 217 means of conveying necessary information to those who may be in need of legal 218 services. In particular, communications can be mailed or transmitted by email or other 219 electronic means that do not involve real-time contact and do not violate other laws 220 governing solicitations. These forms of communications and solicitations make it 221 possible for the public to be informed about the need for legal services, and about the 222 qualifications of available lawyers and law firms, without subjecting the public to direct 223

in-person, live telephone or real-time electronic persuasion that may overwhelm a
 person's judgment.

[4] The use of general advertising and written, recorded or electronic communications 226 to transmit information from lawyer to the public, rather than direct in-person or other 227 real-time communications, will help to ensure that the information flows cleanly as well 228 229 as freely. The contents of advertisements and communications permitted under Rule 7.2 230 can be permanently recorded so that they cannot be disputed and may be shared with others who know the lawyer. This potential for informal review is itself likely to help 231 guard against statements and claims that might constitute false and misleading 232 communications in violation of Rule 7.1. The contents of direct in-person, live telephone 233 or real-time electronic contact can be disputed and may not be subject to third-party 234 scrutiny. Consequently, they are much more likely to approach (and occasionally cross) 235 the dividing line between accurate representations and those that are false and 236 237 misleading.

238 [5] There is far less likelihood that a lawyer would engage in abusive practices against a former client, or a person with whom the lawyer has a close personal or family 239 relationship, or where the lawyer has been asked by a third party to contact a 240 prospective client who is unable to contact a lawyer, for example when the prospective 241 242 client is incarcerated and is unable to place a call, or is mentally incapacitated and unable to appreciate the need for legal counsel. Nor is there a serious potential for abuse 243 in situations where the lawyer is motivated by considerations other than the lawyer's 244 pecuniary gain, or when the person contacted is also a lawyer. This rule is not intended 245 to prohibit a lawyer from applying for employment with an entity, for example, as in-246 house counsel. Consequently, the general prohibition in Rule 7.3(a) and the 247 requirements of Rule 7.3(c) are not applicable in those situations. Also, paragraph (a) is 248 not intended to prohibit a lawyer from participating in constitutionally protected 249 activities of public or charitable legal-service organizations or bona fide political, social, 250

civic, fraternal, employee or trade organizations whose purposes include providing or
recommending legal services to their members or beneficiaries.
[5a] Utah's Rule 7.3(a) differs from the ABA Model Rule by authorizing in-person or

other real-time contact by a lawyer with a prospective client when that prospective
client is unable to make personal contact with a lawyer, but a third party initiates
contact with a lawyer on behalf of the prospective client and the lawyer then contacts
the prospective client.

258 [6] But even permitted forms of solicitation can be abused. Thus, any solicitation which 259 contains information that is false or misleading within the meaning of Rule 7.1, that 260 involves coercion, duress or harassment within the meaning of Rule 7.3(b)(2), or that involves contact with someone who has made known to the lawyer a desire not to be 261 solicited by the lawyer within the meaning of Rule 7.3(b)(1) is prohibited. Moreover, if 262 after sending a letter or other communication as permitted by Rule 7.2 the lawyer 263 receives no response, any further effort to communicate with the recipient of the 264 communication may violate the provisions of Rule 7.3(b). 265

[7] This Rule is not intended to prohibit a lawyer from contacting representatives of 266 organizations or groups that may be interested in establishing a group or prepaid legal 267 plan for their members, insureds, beneficiaries or other third parties for the purpose of 268 269 informing such entities of the availability of and the details concerning the plan or arrangement which the lawyer or lawyer's firm is willing to offer. This form of 270 communication is not directed to people who are seeking legal services for themselves. 271 272 Rather, it is usually addressed to an individual acting in a fiduciary capacity seeking a supplier of legal services for others who may, if they choose, become prospective clients 273 of the lawyer. Under these circumstances, the activity which the lawyer undertakes in 274 communicating with such representatives and the type of information transmitted to 275 the individual are functionally similar to and serve the same purpose as advertising 276 277 permitted under Rule 7.2.

[8] The requirement in Rule 7.3(c) that certain communications be marked "Advertising
Material" does not apply to communications sent in response to requests of potential
clients or their spokespersons or sponsors. General announcements by lawyers,
including changes in personnel or office location, do not constitute communications
soliciting professional employment from a client known to be in need of legal services
within the meaning of this Rule.

[8a] Utah Rule 7.3(c) requires the words "Advertising Material" to be marked on the
outside of an envelope, if any, and at the beginning of any recorded or electronic
communication, but not at the end as the ABA Model Rule requires. Lawyer
solicitations in public media that regularly contain advertisements do not need the "
Advertising Material" notice because persons who view or hear such media usually
recognize the nature of the communications.

[9] Paragraph (d) of this Rule permits a lawyer to participate with an organization that 290 uses personal contact to solicit members for its group or prepaid legal service plan, 291 provided that the personal contact is not undertaken by any lawyer who would be a 292 provider of legal services through the plan. The organization must not be owned by or 293 directed (whether as manager or otherwise) by any lawyer or law firm that participates 294 in the plan. For example, paragraph (d) would not permit a lawyer to create an 295 296 organization controlled directly or indirectly by the lawyer and use the organization for the in-person or telephone, live person-to-person contacts or other real-time electronic 297 solicitation of legal employment of the lawyer through memberships in the plan or 298 otherwise. The communication permitted by these organizations also must not be 299 directed to a person known to need legal services in a particular matter, but is to be 300 designed to inform potential plan members generally of another means of affordable 301 legal services. Lawyers who participate in a legal service plan must reasonably assure 302 that the plan sponsors are in compliance with Rules 7.1, 7.2 and 7.3(b). See Rule 303 8.4(a).Reserved. 304

Rule 7.4. Communication of Fields of Practice. 307 (a) A lawyer may communicate the fact that the lawyer does or does not practice in 308 particular fields of law. 309 (b) A lawyer admitted to engage in patent practice before the United States Patent and 310 311 Trademark Office may use the designation "Patent Attorney" or a substantially similar designation. 312 (c) A lawyer engaged in Admiralty practice may use the designation "Admiralty," 313 "Proctor in Admiralty" or substantially similar designation. 314 (d) A lawyer shall not state or imply that a lawyer is certified as a specialist in a 315 particular field of law, unless: 316 (d)(1) the lawyer has been certified as a specialist by an organization that has been 317 approved by an appropriate state authority or that has been accredited by the American 318 Bar Association; and 319 (d)(2) the name of the certifying organization is clearly identified in the communication. 320 321 Comment [1] Paragraph (a) of this Rule permits a lawyer to indicate areas of practice in 322 communications about the lawyer's services. If a lawyer practices only in certain fields 323 or will not accept matters except in a specified field or fields, the lawyer is permitted to 324 so indicate. A lawyer is generally permitted to state that the lawyer is a "specialist," 325 practices a "specialty" or "specializes in" particular fields, but such communications are 326 subject to the "false and misleading" standard applied in Rule 7.1 to communications 327 concerning a lawyer's services. 328 [2] Paragraph (b) recognizes the long-established policy of the Patent and Trademark 329 Office for the designation of lawyers practicing before the Office. Paragraph (c) 330 recognizes that designation of Admiralty practice has a long historical tradition 331 332 associated with maritime commerce and the federal courts.

[3] Paragraph (d) permits a lawyer to state that the lawyer is certified as a specialist in a 333 field of law if such certification is granted by an organization approved by an 334 appropriate state authority or accredited by the American Bar Association or another 335 organization, such as a state bar association, that has been approved by the state 336 authority to accredit organizations that certify lawyers as specialists. Certification 337 338 signifies that an objective entity has recognized an advanced degree of knowledge and 339 experience in the specialty area greater than is suggested by general licensure to 340 practice law. Certifying organizations may be expected to apply standards of 341 experience, knowledge and proficiency to insure that a lawyer's recognition as a specialist is meaningful and reliable. In order to insure that consumers can obtain access 342 to useful information about an organization granting certification, the name of the 343 344 certifying organization must be included in any communication regarding the certification.Reserved. 345

- 347 Rule 7.5. Firm Names and Letterheads.
- 348 (a) A lawyer shall not use a firm name, letterhead or other professional designation that

349 violates Rule 7.1. A trade name may be used by a lawyer in private practice if it does

- 350 not imply a connection with a government agency or with a public or charitable legal
- 351 services organization and is not otherwise in violation of Rule 7.1.
- 352 (b) A law firm with offices in more than one jurisdiction may use the same name or
- other professional designation in each jurisdiction, but identification of the lawyers in
 an office of the firm shall indicate the jurisdictional limitations on those not licensed to
 practice in the jurisdiction where the office is located.<u>Reserved.</u>

356 (c) The name of a lawyer holding a public office shall not be used in the name of a law

- 357 firm, or in communications on its behalf, during any substantial period in which the
 358 lawyer is not actively and regularly practicing with the firm.
- 359 (d) Lawyers may state or imply that they practice in a partnership or other organization
 360 only when that is the fact.

361 **Comment**

362 [1] A firm may be designated by the names of all or some of its members, by the names of deceased or retired members where there has been a continuing succession in the 363 firm's identity or by a trade name such as the "ABC Legal Clinic." A lawyer or law firm 364 may also be designated by a distinctive website address or comparable professional 365 designation. Although the United States Supreme Court has held that legislation may 366 prohibit the use of trade names in professional practice, use of such names in law 367 practice is acceptable so long as it is not misleading. If a private firm uses a trade name 368 that includes a geographical name such as "Springfield Legal Clinic," an express 369 disclaimer that it is not a public legal aid agency may be required to avoid a misleading 370 implication. It may be observed that any firm name including the name of a deceased or 371 retired partner is, strictly speaking, a trade name. The use of such names to designate 372 law firms has proven a useful means of identification. However, it is misleading to use 373

- 374 the name of a lawyer who has not been associated with the firm or a predecessor of the
- 375 firm, or the name of a nonlawyer.
- 376 [2] With regard to paragraph (d), lawyers sharing office facilities, but who are not in fact
- 377 associated with each other in a law firm, may not denominate themselves as, for
- 378 example, "Smith and Jones," for that title suggests that they are practicing law together
- 379 in a firm.

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