

**Proposed Amendments to the
Supreme Court Rules of Professional Practice related to the
Discipline, Disability, and Sanctions Rules**

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Chapter 11, Article 5. Office of Professional Conduct.

General provisions.

Rule ~~14-501~~11-501. Lawyer disciplinary and disability proceedings: Purpose, authority, scope, and structure ~~of lawyer disciplinary and disability proceedings.~~

(a) The purpose of Lawyer disciplinary and disability proceedings is to ensure and maintain the high standard of professional conduct required of those who undertake the discharge of professional responsibilities as Lawyers and to protect the public and the administration of justice from those who have demonstrated by their conduct that they are unable or unlikely to properly discharge their professional responsibilities.

(b) Under Article VIII, Section 4 of the Constitution of Utah, the Utah Supreme Court has exclusive authority within Utah to adopt and enforce rules governing the practice of law, including ~~admission-licensure~~ to practice law in Utah and the conduct and discipline of persons ~~admitted or~~ licensed to practice law.

(c) All disciplinary proceedings ~~shall~~ must be conducted in accordance with ~~this article and Article 6, Standards for Imposing Lawyer Sanctions~~ these rules. Formal disciplinary and disability proceedings are civil in nature. These rules ~~shall~~ will be construed ~~so as~~ to achieve substantial justice and fairness in disciplinary matters with dispatch and at the least expense to all concerned parties.

(d) The interests of the public, the courts, and the legal profession all require that disciplinary proceedings at all levels be undertaken and construed to secure the just and speedy resolution of every complaint.

(e) Unless provided otherwise, to the extent consistent with their limited license, licensed paralegal practitioners and foreign legal consultants must be treated in the same manner as lawyers for purposes of interpreting and implementing these rules.

Comment [LL1]: Chapter 15, articles 5 and 6 have been combined with former Chapter 14, articles 5 and 6 into Chapter 11, Article 5.

Rule 14-50211-502. Definitions.

As used in this article:

(a) "Action" means a lawsuit filed by the OPC in district court alleging Lawyer misconduct or seeking to transfer a Lawyer to disability status.

Comment [LL2]: Recommendation 4.1.

(b) "Bar" means the Utah State Bar.

(c) "Board Bar Commission" or "Commission" means the Board of Bar Commissioners of the Utah State Bar.

(d) "Chief Disciplinary Counsel" means the lawyer the Supreme Court appoints to manage the OPC.

Comment [LL3]: Recommendation 1.2

(e) "Committee" means the Ethics and Discipline Committee of the Utah Supreme Court. (e) ~~OPC counsel means senior counsel and any assistant counsel employed to assist senior counsel;~~

(f) "Complainant" means either (1) the person who files a an informal Complaint, or (2) the OPC when the OPC determines to open an investigation based on information it has received after opening an investigation.

(f) ~~"formal complaint" means a complaint filed in the district court alleging misconduct by a lawyer or seeking the transfer of a lawyer to disability status;~~

Comment [LL4]: Recommendation 4.1

(g) "Complaint" means any written allegation of Lawyer misconduct or incapacity containing a declaration under penalty of perjury as to the accuracy of the information provided.

Comment [LL5]: Recommendation 4.1

(g) ~~informal complaint means any written, notarized allegation of misconduct by or incapacity of a lawyer which also contains a verification attesting to the accuracy of the information provided;~~

(h) "injury" means harm to a client, the public, the legal system, or the profession that results from a lawyer's misconduct. The level of injury can range

1 from “serious” injury to “little or no” injury; a reference to “injury” alone
2 indicates any level of injury greater than “little or no” injury.

3 (i) “intent” means the conscious objective or purpose to accomplish a particular
4 result.

5 (j) “knowledge” means the conscious awareness of the nature or attendant
6 circumstances of the conduct but without the conscious objective or purpose to
7 accomplish a particular result;

8 (k) “Lawyer” includes those licensed to practice law in any jurisdiction of the
9 United States, foreign legal consultants, and licensed paralegal practitioners,
10 insofar as the licensed paralegal practitioner is authorized to practice under Utah
11 Special Practice Rule 14-802, unless provided otherwise.

12 (l) “licensed” includes lawyers admitted to the Bar, unless provided otherwise.

13 (m) “negligence” means a Lawyer’s failure to heed a substantial risk that
14 circumstances exist or that a result will follow, which failure is a deviation from
15 the standard of care that a reasonable Lawyer would exercise in the situation.

16 (n) “~~NOIC~~Notice” means the notice~~Notice of Informal Complaint~~ the OPC
17 sends~~sent~~ to the ~~R~~Respondent after a preliminary investigation, which identifies
18 the possible violation(s) of the Rules of Professional Conduct or Licensed
19 Paralegal Practitioner Rules of Professional Conduct, raised by the Complaint as
20 the OPC has preliminarily determined.;

Comment [LL6]: Recommendation 4.2.

21 (~~io~~) “OPC” means the ~~Bar’s~~ Office of Professional Conduct.;

Comment [LL7]: Recommendation 1.2

22 (p) “OPC Counsel” means Chief Disciplinary Counsel, deputy chief disciplinary
23 counsel, and any assistant disciplinary counsel.

24 (q) “Oversight Committee” means the committee established in Rule 11-503 to
25 oversee the OPC.

(j) "potential injury" means the harm to a client, the public, the legal system, or the profession that is reasonably foreseeable at the time of the lawyer's misconduct, and which, but for some intervening factor or event, would probably have resulted from the lawyer's misconduct.

(s) "Respondent" means a lawyer subject to the disciplinary jurisdiction of the Utah Supreme Court against whom an informal or formal eComplaint has been filed or an Action has been initiated.

(k) "Rules of Professional Conduct" means the rules in Chapter 13 of the Supreme Court Rules of Professional Practice Utah Rules of Professional Conduct (including the accompanying comments) initially adopted by the Utah Supreme Court in 1988, as amended from time to time and "Licensed Paralegal Practitioner Rules of Professional Conduct" means the rules in Chapter 15, article 12 of the Supreme Court Rules of Professional Practice.

(l) "screening panel" means members of the Committee who participate in hearings and make determinations under Rule 14-503;

(m) "senior counsel" means the lawyer appointed by the Board to manage the OPC; an

(n) "Supreme Court" means the Utah Supreme Court.

Rule ~~11-501~~11-503. Oversight Committee for the Office of Professional Conduct.

Intent:

~~To establish an oversight committee for the Office of Professional Conduct ("OPC").~~

~~To establish a method for appointing committee members, membership terms, a meeting schedule, and committee purposes and responsibilities.~~

Applicability:

~~This rule shall apply to the Oversight Committee for the Office of Professional Conduct.~~

Statement of the Rule:

~~(1a) Establishment.~~ The Oversight Committee for the Office of Professional Conduct ("Oversight Committee") is established as a Supreme Court committee ~~of the Utah Supreme Court.~~

(1)(A) Composition.

(A)(i) The Oversight Committee ~~shall~~ consists of five voting members. Among the members, at least one ~~must be of whom is~~ a judge; one a member of the public; and one a past chair or past vice-chair of the Ethics and Discipline Committee. At least one of the members ~~shall~~ must have an accounting or finance background.

(A)(ii) The ~~Executive D~~irector of the Utah ~~State~~ Bar ~~shall~~ will be an ex-officio, non-voting member of the Oversight Committee.

(2B) Appointment and member roles. The Utah Supreme Court appoints Oversight Committee members ~~shall be appointed by the Utah Supreme Court and who~~ may serve up to two consecutive staggered four-year terms. The Supreme Court ~~shall~~ will select a chair from among the Oversight Committee's members. Oversight Committee members ~~shall~~ serve as officers of the court and not as representatives of any client, employer, or other organization or interest group. At the first meeting of the Oversight Committee in any calendar year, and

at every meeting at which a new ~~member of the~~ Committee member first attends, each Committee member ~~shall~~must briefly disclose the general nature of the member's legal or other practice.

(3) Meeting schedule. The Oversight Committee will meet as often as necessary to accomplish its purposes but at least annually.

(4C) Vacancies. ~~If there is an event of a vacancy on the Oversight~~ Committee vacancy, the Supreme Court ~~shall~~will appoint a new Committee member to serve for the remainder of the unexpired term.

(5D) Absences. ~~If in the event that an Oversight~~ Committee member fails to attend two consecutive Committee meetings, the chair may notify the Supreme Court of those absences and may request that the Supreme Court replace that Committee member.

(6E) Administrative support. The Administrative Office of the Courts shall coordinate administrative support to the Committee.

(2b) Oversight ~~e~~Committee purpose, responsibilities, and authority.

(1A) Oversight Committee P~~urpose of the Committee.~~ The Oversight Committee's purpose ~~of the Committee~~ is to assist the OPC in implementing the reforms to the attorney discipline process adopted by the Utah Supreme Court and to provide oversight for the OPC.

(2)(B) Oversight Committee responsibilities. The following comprise the Oversight Committee's responsibilities:

(A)(i) ~~Develop~~ and implement realistic performance metrics and conduct annual evaluations of OPC and its Chief Disciplinary Counsel;

(B)(ii) ~~Develop a~~ Approve the budget for the OPC and annually submit the budget ~~by May 1~~ to the ~~Utah~~ Supreme Court and ~~to the Utah State the~~ Bar;

1 | ~~(CB)(iii)~~ Conduct a needs assessment for the OPC, setting forth a three- to
2 | five-year funding plan for the disciplinary process, including technology
3 | and staffing needs;

4 | ~~(DB)(iv)~~ Annually, in conjunction with ~~OPC~~ Chief Disciplinary Counsel
5 | and the ~~Chair of the~~ Ethics and Discipline Committee chair, report to the
6 | Court regarding the operations of the OPC and the general standing of
7 | disciplinary matters and procedures; ~~and~~

8 | ~~(EB)(v)~~ Develop and monitor formal policies for the OPC, including
9 | records retention policies;

10 | (F) Recommend rules of administration and procedure to the Supreme
11 | Court;

12 | (G) Recommend a Chief Disciplinary Counsel to be appointed by the
13 | Supreme Court; and

14 | (H) Monitor the OPC's workload and recommend to the Supreme Court
15 | adequate OPC staffing.

16 | ~~(3E)~~ **Authority.** The Oversight Committee does not have authority to interfere
17 | with the prosecutorial independence of the OPC, but is granted access to
18 | confidential information as necessary to carry out its duties.

19 | ~~(3) Meeting schedule. The Committee shall meet as often as necessary to~~
20 | ~~accomplish its purposes but at least annually.~~

21 | (c) Complaints and appeals.

22 | (1) Any person may file with the Oversight Committee chair a complaint alleging
23 | malfeasance regarding the Chief Disciplinary Counsel. If necessary, the
24 | Oversight Committee may enter a recommendation to the Supreme Court, which
25 | may take appropriate action.

1 (2) If a complaint regarding the Chief Disciplinary Counsel is received in the
2 OPC's office, the Chief Disciplinary Counsel must forward the complaint to the
3 Oversight Committee chair within a reasonable time, but not more than 14 days
4 after receipt.

5 (3) Any person may file with the Chief Disciplinary Counsel a complaint alleging
6 malfeasance regarding OPC Counsel or staff. The Chief Disciplinary Counsel's
7 decision regarding the complaint is final and not subject to appeal. The Chief
8 Disciplinary Counsel's decision may include an appropriate action taken against
9 the person who is the subject of the complaint.

10 (4) A complaint must be in writing, stating the name and contact information of
11 the complainant, the nature of the complaint, and the facts on which the
12 complaint is based.

13 (5) Unless the appropriate action taken on a complaint is part of a formal
14 proceeding, any action taken is confidential.

Rule ~~14-506~~11-504. Jurisdiction.

(a) **Persons practicing law.** The persons subject to the disciplinary jurisdiction of the Supreme Court and the OPC include any Lawyer ~~admitted-licensed~~ to practice law in Utah, any lawyer admitted but currently not properly licensed to practice in Utah, any formerly ~~admitted-licensed~~ Lawyer with respect to acts committed while admitted to practice in Utah or with respect to acts subsequent thereto, which amount to the practice of law or constitute a violation of any rule promulgated, adopted, or approved by the Supreme Court or any other disciplinary authority where the ~~attorney~~-Lawyer was licensed to practice or was practicing law at the time of the alleged violation, any Lawyer specially admitted by a Utah court ~~of Utah~~ for a particular proceeding, and any other person not ~~admitted-licensed~~ in Utah who practices law or who renders or offers to render any legal services in Utah.

(b) **Incumbent and sitting judges.** Incumbent and sitting judges are subject to the OPC's jurisdiction ~~of OPC~~ only for conduct that occurred ~~prior to the~~before taking ~~of~~ office.

(c) **Former judges.** A former judge who has resumed the status of a Lawyer is subject to the jurisdiction of the Supreme Court not only for conduct as a Lawyer but also for misconduct that occurred while the Lawyer was a judge and would have been grounds for Lawyer discipline, provided that the misconduct was not the subject of a judicial disciplinary proceeding as to which there has been a final determination by the Supreme Court.

(d) **Part-time judges.** Part-time judges, while in office, are subject to Lawyer disciplinary and disability proceedings for acts outside their judicial capacity.

1 **Rule ~~14-529~~11-505. Statute of limitations.**

2 (a) **Individual Complaints.** A Complaint must be filed with the OPC within four years
3 of the time that the Complainant discovers or reasonably should have discovered the
4 alleged misconduct.

5 (b) **OPC Complaints.** A Complaint initiated by the OPC must be initiated within five
6 years of the alleged misconduct.

7 (c) **Fraud, conversion, conviction of a serious crime, and concealment.** There is no
8 statute of limitations for misconduct alleging fraud, conversion, or conviction of a
9 serious crime, or for alleged misconduct concealed by the lawyer.

10 ~~Proceedings under this article shall be commenced within four years of the discovery~~
11 ~~of the acts allegedly constituting a violation of the Rules of Professional Conduct.~~

Ethics and Discipline Committee.

Rule ~~14-503~~11-510. Ethics and Discipline Committee composition.

(a) **Composition.** The Supreme Court appoints the Committee ~~members shall be appointed by the Supreme Court.~~ The Committee ~~shall~~ consists of ~~eight~~ four public members and ~~21~~ 29 ~~lawyers of the Bar~~ who have demonstrated a high standard of professional conduct. All appointments ~~shall be~~ are for a term of three years with no Committee member serving more than two consecutive terms unless appointed as a chair or vice chair of the Committee. The Supreme Court ~~shall~~ designates one ~~lawyer~~ member as Committee chair and four ~~lawyer~~ members as Committee vice chairs.

Comment [LL8]: Recommendation 5.4

(b) **Committee chair.** The Committee chair ~~shall~~ supervises the Committee and screening panels. The chair is responsible ~~to~~ for:

(1) maintaining an adequate check on the screening panels' work ~~of the screening panels~~ to ensure that matters move forward expeditiously;

(2) to determine that screening panels have a uniform basis for the judgments rendered;

(3) and to provide the screening panels with information concerning ethics and judicial decisions necessary to their activities; and

(4) The chair shall make recommendations to the Supreme Court concerning appointments to and removals from the screening panels and reports concerning the screening panel activities ~~of the screening panels~~ and the overall work of the Committee.

(c) **Vice chairs.** The Committee vice chairs ~~shall will~~ act in the event of if the chair ~~is~~ absent or ~~resignations~~ resigns. In ~~the~~ such event ~~of the chair's absence or resignation~~, a vice chair will become the chair. The chair may call upon any vice chair to assist in any of the Committee chair's duties.

(d) Removal. The Committee chair may recommend removal of a Committee member by notifying the Supreme Court of the recommendation of removal and reasons for the

1 | recommendation. The removal is effective when the Supreme Court accepts the
2 | recommendation.
3 |

1 **Rule 11-511. ~~(d)~~ Screening Ppanel composition; responsibilities, quorums.**

2 ~~(d)~~(a) **Screening panel composition.** The Committee members, except for the
3 Committee chair and ~~Committee~~ vice chairs, ~~shall be~~ divided into four screening
4 panel sections of five members each, including six four 1L lawyers of the Bar and one two
5 public members. Whenever a screening panel is assigned a Complaint involving a
6 licensed paralegal practitioner, the Committee chair may, as practical, assign up to two
7 Committee members who are licensed paralegal practitioners to the screening panel.

8 **(b) Screening panel number.** All screening panel hearings must have five panel
9 members present unless all parties agree to fewer than five, but not fewer than three,
10 panel members. A panel chair or vice chair and a public member must be present at
11 each screening panel hearing.

12 **(c) Chair and vice chair.** The Supreme Court ~~shall will~~ name a chair and vice chair for
13 each screening panel. The chair or, in the chair's absence ~~of the chair, the~~ vice chair ~~shall~~
14 presides over ~~the~~ screening panel hearings. The panel chair may call upon the vice chair
15 to assist in any of the panel chair's duties. Chairs or vice chairs from other panels may
16 conduct hearings if the regular chair and vice chair are unable to attend. ~~In the event~~
17 ~~of~~ If the chair's is removed or resignations, the vice chair will become the chair, and
18 the Court ~~shall will~~ appoint a ~~member of the Committee~~ member to serve as vice chair.

19 **(d) Voting.** ~~Two members of the Bar plus one public member shall constitute a quorum~~
20 ~~of a screening panel. The concurrence of a~~ majority vote of those members present and
21 voting at any proceeding ~~shall be~~ required for a screening panel determination. ~~If an~~
22 ~~even number of screening panel members participate in a proceeding, t~~ The chair, or
23 vice chair if the chair is not present, shall may not vote unless necessary to break a tie.
24 The chair or vice chair ~~shall may~~, however, fully participate in the proceeding.

25 **(e) Meetings.** Each screening panel ~~shall~~ meets as is necessary to effectively and
26 promptly carry out its duties. The Committee chair may convene the entire Committee
27 ~~may be convened~~ at such other times ~~by the chair~~ as necessary to effectively and
28 promptly carry out ~~its the~~ Committee's duties.

(ef) ~~Removal, a~~ Alternates. The Committee chair may recommend removal of a Committee member by notifying the Supreme Court of the recommendation of removal and reasons for the recommendation. The removal shall take effect upon the Supreme Court's acceptance of the recommendation. Members of any screening panel may serve as alternate members on different screening panels. The Committee chair and the Committee vice chairs may serve as alternate members on all screening panels.

(fg) Responsibilities.

(1) ~~Informal e~~ Complaints shall be randomly assigned to a screening panels. The screening panels ~~shall review,~~ and hear all Complaints charging that a Lawyer engaged in unethical or unprofessional conduct, and may consider any other relevant information ~~investigate, and hear all informal complaints charging that a lawyer engaged in unethical or unprofessional conduct~~ members. After such review, investigation, hearing, and analysis, the ~~s~~ Screening panels shall determine the action to be taken on any ~~informal e~~ Complaint ~~which that, based upon~~ in applying these rules to the facts of the ~~particular~~ case, is most consistent with the public interest and the Rules of Professional Conduct or Licensed Paralegal Practitioner Rules of Professional Conduct.

(2) ~~Except as~~ Unless otherwise provided in this article, whenever the OPC counsel may be present before a screening panel during a hearing, the ~~#~~ Respondent may also be present.

Rule 11-512.(g) Respondent Subpoena petitions.

(a) Who may request a subpoena. Before the screening panel authorizes the OPC to commence an Action against Respondent, ~~Any party~~ the Respondent ~~may or a screening panel,~~ for good cause ~~shown,~~ request that the Committee chair authorize service of a subpoena on a third party to produce documents, electronically stored information, or tangible things in the possession, custody, or control of that person or entity. ~~may petition under seal the district court for issuance of a subpoena, subpoena duces tecum, or any order allowing discovery prior to the filing of a formal complaint~~ Except ~~where~~ for good cause is shown, all petitions under this rule ~~shall~~ require a ~~seven~~ five-day written notice to the ~~OPC~~ Opposing party ~~prior to the issuance of before the Committee chair authorizes the~~ ~~an appropriate order of~~ subpoena.

(b)(1) Subpoena Enforcement of subpoena. A district court in the district in which the attendance or production is required may, upon proper application, enforce the attendance and testimony of any witnesses and the production of any documents subpoenaed.

(c)(2) Quashing subpoena. The Committee chair or the court wherein the subpoena enforcement is being sought will hear and determine ~~Any~~ an attack on an issued subpoena ~~the validity~~ of a subpoena so issued shall be heard and determined by the ~~Committee chair or by the court wherein enforcement of the subpoena is being sought.~~ Any resulting order is not appealable ~~prior to the~~ before entry of a final order in the proceeding.

(d)(3) Witnesses and fees. Subpoena fees, witness fees, and mileage ~~shall bear~~ reimbursed in the amounts provided under Rule 45 of the Utah Rules of Civil Procedure.

Rule 11-513.(h)(1) Clerk of the Committee clerk.

(a) Confidentiality. The Committee clerk is subject to the confidentiality requirements of Rule 14-51511-561.

(b) Responsibilities. The Clerk of the Committee clerk is responsible for:the

(1) handling the Committee's administrative affairs ~~of the Committee,~~

(2) accepting documents filed with the eCommittee,

(3) handling screening panel calendars,

(4) giving notice to persons whose attendance is requested,

(5) notifying ~~those who have filed informal complaints~~ the Complainant, the

Respondent, and the OPC of the times and dates their matters will be heard,

(6) notifying the eComplainant, the RRespondent, and any counsel of record the

OPC of the disposition of each matter, and

(7) otherwise performing or providing the secretarial and administrative

functions of the Committee and screening panels. ~~The Clerk is subject to~~

~~confidentiality requirements of Rule 14-515. Except as otherwise provided in this~~

~~article, whenever OPC counsel may be present before a screening panel during a~~

~~hearing, the respondent may also be present.~~

~~(h)(2) OPC counsel shall within three months after the filing of an informal~~

~~complaint of unprofessional or unethical conduct of a respondent, advise the~~

~~party making the informal complaint concerning the initial consideration of the~~

~~informal complaint, and shall promptly advise such party in writing of the~~

~~subsequent disposition of the informal complaint and the reasons therefor.~~

Rule 11-514.(f) Disclosure, recusal, and disqualification.

(a) Application. Disclosure, recusal, and disqualification apply to Committee members' participation in a screening panel hearing, exception, or other proceeding in which a Respondent's conduct is considered under these rules.

(b) Disclosure.

(1) Committee members must make disclosures before or, at the latest, at the start of a screening panel hearing or other hearing in which a Respondent's conduct is considered.

(2) Each Committee member must disclose to the parties any professional or personal relationship or conflict of interest with a party or a party's counsel in the proceeding that may affect an unbiased evaluation of the Respondent.

(3) Relationships that may affect an unbiased evaluation of the Respondent include any contact or association that might influence a Committee member's ability to fairly and reasonably evaluate the conduct of any Respondent or to assess that Respondent without bias or prejudice, including but not limited to:

(A) family relationships to a party or Lawyer of a party in the proceeding within the third degree of relationship;

(B) any business relationship between the Committee member and a party or Lawyer of a party in the proceedings; and

(C) any personal litigation directly or indirectly involving a party or a Lawyer of a party in the proceeding and the Committee member, the Committee member's family or the Committee member's business.

~~) A Committee member exhibits bias or prejudice when the Committee member is predisposed to decide a cause or an issue in a way that does not leave the Committee members mind open to exercising the Committee members duties impartially in a particular case.~~

1 (c) Recusal.

2 (1) As used in this rule, recusal is a voluntary act of self-disqualification by a
3 Committee member.

4 (2) After making a disclosure, a Committee member may voluntarily recuse if the
5 Committee member believes the relationship with the Respondent or other
6 parties will affect an unbiased evaluation of the Respondent.

7 (d) Disqualification procedures.

8 (1) A Respondent may move to disqualify a screening panel member if such
9 member:

10 (A) makes a disclosure and does not voluntarily recuse, and that
11 member's impartiality might reasonably be questioned; or

12 (B) does not make a disclosure, but known circumstances suggest the
13 Committee member's impartiality might reasonably be questioned.

14 (2) A motion to disqualify a screening panel member must be submitted to the
15 Committee clerk for review by the screening panel chair or vice chair before or
16 during the screening panel hearing.

17 (3) A motion to disqualify a Committee member from an exception or other
18 hearing or review must be submitted to the Committee clerk for review by the
19 Committee chair or vice chair before any hearing on the matter.

20 (e) Disqualification after Committee service. A former Committee member may not
21 personally represent a Respondent in any proceeding as provided in these rules within
22 one year after completing the former Committee member's service. In addition to the
23 one-year prohibition, a former Committee member may not personally represent a
24 Respondent in any proceedings as provided in these rules in which the former
25 Committee member previously participated during the Committee member's service on
26 the Committee.

1 ~~-(i) **Annual report.** Senior counsel shall prepare and submit an annual report to the~~
2 ~~Supreme Court and the Board encompassing the scope and nature of the Committee~~
3 ~~work. The report shall be submitted on or about August 1 of each year for the preceding~~
4 ~~fiscal year and shall set forth the number of disciplinary cases investigated, the number~~
5 ~~brought before the Committee, formal complaints filed, dispositions, cases dismissed,~~
6 ~~informal ethics opinions issued, diversionary dispositions and such other information~~
7 ~~as may be helpful to the Supreme Court in comprehending the operations of the OPC as~~
8 ~~well as the efficiency and effectiveness of the disciplinary system. Such report may~~
9 ~~contain Committee recommendations for rule amendments or changes in Committee~~
10 ~~procedure. The chair and senior counsel shall annually consult with the Board and the~~
11 ~~Supreme Court regarding the level of activity and general standing of disciplinary~~
12 ~~matters and procedures.~~

13

Office of Professional Conduct composition and responsibilities.

Rule 14-50411-520. Chief Disciplinary Counsel and OPC counsel.

(a) **Appointment and qualifications.** The Supreme Court Board ~~shall~~will appoint a lawyer admitted licensed to practice in Utah to serve as senior Chief Disciplinary eCounsel. Neither the senior Chief Disciplinary eCounsel nor any full-time assistant disciplinary counsel ~~shall~~may engage in the private practice of law for payment.

Comment [LL11]: Recommendation 1.2

(b) Chief Disciplinary Counsel responsibilities. The Chief Disciplinary Counsel has the following responsibilities:

(1) Hire and manage OPC Counsel and staff to ensure quality investigations, discipline, and sanctions.

(2) Develop the budget for Oversight Committee approval.

(3) Monitor and report to the Oversight Committee regarding the OPC's operations and the efficiency and effectiveness of the disciplinary system.

(4) Prepare and submit an annual report to the Oversight Committee and Supreme Court on or about February 1 of each year for the preceding calendar year.

(A) The report must include:

(i) the number of disciplinary cases investigated,

(ii) the number of disciplinary cases brought before the Committee,

(iii) Actions filed,

(iv) dispositions, including diversionary dispositions,

(v) cases dismissed,

(vi) informal ethics advisory opinions issued by the Bar, and

(vii) such other information as may be helpful to the Supreme Court in understanding the OPC's operations and the efficiency and effectiveness of the disciplinary system.

(B) Such report may contain recommendations for rule amendments or changes in the OPC or Ethics and Discipline Committee procedure. The Oversight Committee may amend the report before releasing it to the Supreme Court.

(c) OPC Counsel.

(1) Qualification and responsibilities. OPC Counsel must be licensed to practice law in Utah.

(2) OPC Counsel will be selected by the Chief Disciplinary Counsel. An OPC Counsel is an at-will employee subject to dismissal by the Chief Disciplinary Counsel with or without cause.

(d) **Disqualification and conflicts of interest.** In addition to complying with the Rules of Professional Conduct regarding successive government and private employment (Rule 1.11 of the Rules of Professional Conduct), former OPC Counsel may not personally represent a Respondent as to any Complaint or Action within one year after completing the former OPC Counsel's service. In addition to the one-year prohibition, former OPC Counsel may not personally represent a Respondent in any Complaint or Action that the OPC investigated or prosecuted during the term of the former OPC Counsel's employment.

Rule 11-521.(b) OPC prosecutorial Powers and duties.

(a) The ~~senior~~ Chief Disciplinary eCounsel ~~shall~~ will perform all prosecutorial functions and have the following powers and duties, which may be delegated to other staff:

(1) ~~S~~screen all information coming to the attention of the OPC to determine whether it is within the jurisdiction of the OPC in that it relates to misconduct by a ~~H~~lawyer or to the incapacity of a ~~H~~lawyer;

(2) ~~I~~investigate all information coming to the attention of the OPC which, if true, would be grounds for discipline or transfer to disability status, and investigate all facts pertaining to petitions for reinstatement or ~~readmission~~ relicensure;

(3) Choose to dismiss, decline to prosecute, refer nonfrivolous and substantial Complaints to the Committee for hearing, or petition the district court for transfer to disability status. ~~for each matter not covered in Rule 14-510 brought to the attention of the OPC;~~

~~(b)(3)(A) dismiss;~~

~~(b)(3)(B) decline to prosecute;~~

~~(b)(3)(C) refer non-frivolous and substantial informal complaints to the Committee for hearing; or~~

~~(b)(3)(D) petition to the district court for transfer to disability status;~~

(4) ~~P~~prosecute before the screening panels, the district courts, the Supreme Court, and any other courts, including but not limited to, any court of the United States all disciplinary cases and proceedings for transfer to or from disability status;

(5) ~~A~~attend the Character and Fitness Committee proceedings in all cases for ~~readmission~~ relicensure, and represent the OPC before the district courts, Supreme Court, and any other courts including, but not limited to, any court of the United States in all cases for reinstatement and ~~readmission~~ relicensure;

- (6) ~~E~~mploy or appoint and supervise staff needed for the performance of prosecutorial functions and delegate such responsibilities as may be reasonably necessary to perform prosecutorial functions, including supervising attorneys who provide pro bono services to the Bar, by supervising the practice of ~~R~~espondents who have been placed on probation.
- (7) ~~N~~otify each jurisdiction in which a ~~R~~espondent is ~~admitted-licensed~~ of a transfer to disability status or any public discipline imposed in Utah.
- (8) ~~S~~seek reciprocal discipline where appropriate when informed of any public discipline imposed by another court, another jurisdiction, or a regulatory body having disciplinary jurisdiction.
- (9) ~~F~~orward a certified copy of the judgment of conviction to the disciplinary agency in each jurisdiction in which a ~~H~~awyer is ~~admitted-licensed~~ when the ~~H~~awyer is convicted of a crime in Utah which reflects adversely on the ~~H~~awyer's honesty, trustworthiness, or fitness as a ~~H~~awyer.
- (10) ~~M~~aintain ~~permanent~~ records of discipline and disability matters subject to any expungement requirements and compile statistics to aid in the administration of the system, including but not limited to, a log of all ~~informal~~ ~~e~~Complaints received, investigative files, statistical summaries of rules violated and dispositions, any transcripts of proceedings, and other records as the Supreme Court requires to be maintained.

~~(b)(11) expunge after seven years all records or other evidence of the existence of any informal complaint terminated by dismissal or a declination to prosecute;~~

~~(b)(11)(A) Notice to respondent. If the respondent was contacted by the OPC concerning the informal complaint, or the OPC otherwise knows that the respondent is aware of the existence of the informal~~

1 ~~complaint, the respondent shall be given prompt written notice of~~
2 ~~the expungement.~~

3 ~~(b)(11)(B) Effect of expungement. After a file has been expunged,~~
4 ~~any OPC response to an inquiry requiring a reference to the matter~~
5 ~~shall state that there is no record of such matter. The respondent~~
6 ~~may answer any inquiry requiring a reference to an expunged~~
7 ~~matter by stating that no informal complaint was made.~~

8 (12) Provide informal guidance concerning professional conduct to
9 lawyers ~~of the Bar requesting guidance, participate in~~through seminars
10 ~~which that~~ will promote ethical conduct, formulate diversionary
11 programs, monitor probations, and disseminate disciplinary results to the
12 Bar and the public through the Utah Bar Journal and otherwise as
13 appropriate, while maintaining the confidentiality of Respondents subject
14 to private discipline, ~~and~~

15 ~~(b)(13) along with the executive director annually formulate the budget~~
16 ~~for the OPC and submit the budget to the Board for approval. OPC~~
17 ~~counsel may petition the Supreme Court for review of modifications to the~~
18 ~~budget imposed by the Board.~~

19 ~~(c) Disqualification. In addition to complying with the Rules of Professional~~
20 ~~Conduct regarding successive government and private employment (Rule 1.11 of~~
21 ~~the Rules of Professional Conduct), a former OPC counsel shall not personally~~
22 ~~represent a lawyer following completion of the OPC counsel's service in any~~
23 ~~proceedings as provided in these rules which former OPC counsel investigated~~
24 ~~or prosecuted during his or her employment by OPC.~~

Rule 11-522.(d) Effect of ethics advisory opinions.

(a) Effect of ethics advisory opinions. The OPC ~~shall~~may not prosecute a Utah
lawyer for conduct that ~~is in compliance~~complies with an ethics advisory opinion that
has not been withdrawn at the time of the conduct in question. No court is bound by an
ethics opinion's interpretation of the ~~Utah~~ Rules of Professional Conduct or Licensed
Paralegal Practitioner Rules of Professional Conduct.

(b) Reviewing, modifying, or withdrawing ethics advisory opinions.

(1) The OPC may at any time request the Bar's Ethics Advisory Opinion
Committee to review, modify, or withdraw an ethics advisory opinion and ~~if so,~~
any OPC investigation or prosecution is suspended pending the final outcome of
the request. The Ethics Advisory Opinion Committee may issue a modified
opinion, withdraw the opinion, or decline to take any action but ~~shall~~will report
its action or recommendation to the ~~Board of~~ Bar Commissioners and the
~~Board~~Commission will take such final action as it deems appropriate.

(2) The OPC may also request the Supreme Court to review, affirm, reverse, or
otherwise modify an ethics advisory opinion.

Rule 11-523. OPC investigative subpoenas.

(a) Power to subpoena. The OPC may request that the Committee chair approve serving on a Respondent or third party a subpoena to produce documents, electronically stored information, or tangible things in the possession, custody, or control of that person.

(b) Requesting a subpoena. The OPC must file a written request with the Committee chair for a subpoena and attach a copy of the proposed subpoena. The OPC must mail or email a copy of the request and proposed subpoena to the Respondent's address according to the Bar's records. The request must describe the purpose for seeking the subpoena. Any objections to the request must be filed with the chair within seven days after the subpoena request is sent. Within seven business days after the time for filing an objection expires, the Committee chair will grant or deny the subpoena request, without a hearing, based on weighing:

(1) the materiality and necessity of the requested documents, electronically stored information, or tangible things; and

(2) the burden to the custodian of producing the documents, electronically stored information, or tangible things.

(c) Serving the subpoena. If the Committee chair grants the request, the OPC may sign and serve the subpoena on the Respondent or third party.

(d) Witnesses and fees. Subpoena fees, witness fees, and mileage are reimbursed in the amounts provided under Rule 45 of the Utah Rules of Civil Procedure.

(e) Quashing or enforcing a subpoena. A district court in the district in which the attendance or production is being sought may, upon proper application, quash the subpoena, or enforce the attendance and testimony of any witnesses and the production of any documents subpoenaed as provided for in Rule 45 of the Utah Rules of Civil Procedure. Any resulting order is not appealable before the entry of a final order in the disciplinary proceeding.

Draft: July 28, 2020

Rule 11-524. Retaining records.

(a) No imposed discipline. After three years, the OPC must destroy all records or other evidence of the existence of Complaints that the OPC dismisses or declines to prosecute.

(1) Exception. On the OPC's application, notice to Respondent, and a showing of good cause, the Oversight Committee may permit the OPC to retain such records for one additional period of time not to exceed three years.

(2) Effect of no imposed discipline. After a file or electronic record related to a Complaint that the OPC dismisses or declines to prosecute has been destroyed, any OPC response to an inquiry requiring a reference to the matter must state that there is no record of such matter. The Respondent may answer any inquiry requiring a reference to such matter by stating that no Complaint was made.

(b) Discipline and disability. The OPC must retain for 30 years all records or other evidence of the existence of Complaints that resulted in public reprimand, suspension, delicensure, resignation with discipline pending, admonition, disability, and probation running from the date the discipline expired.

(c) Disciplinary history letters. The OPC must retain for three years all records of disciplinary history letters, running from the date of the letter.

1 ~~Rule 14-505. Expenses.~~

2 ~~(a) The salaries of OPC counsel and staff, their expenses, administrative costs, and the~~
3 ~~expenses of the members of the screening panels, shall be paid by the Bar.~~

4 ~~(b) The budget prepared by the executive director and senior counsel pursuant to Rule~~
5 ~~14-504(b)(14) shall reasonably ensure the accomplishment of the goals of the~~
6 ~~disciplinary system, the professional development of the staff, and salaries that will~~
7 ~~encourage continued employment of competent professionals and support staff and~~
8 ~~will provide compensation approximately equivalent to current salaries in comparable~~
9 ~~service.~~

~~Rule 14-507. Roster of lawyers and current record information.~~

~~The Bar shall collect, maintain and have ready access to current information relating to members of the Bar including:~~

~~(a) full name;~~

~~(b) date of birth;~~

~~(c) current physical addresses, and current telephone numbers for law office and residence, except that full-time judges are exempt from providing residential addresses and telephone numbers;~~

~~(d) current e-mail address;~~

~~(e) date of admission;~~

~~(f) date of any transfer to or from inactive status;~~

~~(g) all specialties in which certified;~~

~~(h) other jurisdictions in which the lawyer is admitted and date of admission; and~~

~~(i) nature, date, and place of any discipline imposed and any reinstatements.~~

~~Rule 14-508. Periodic assessment of lawyers.~~

~~(a) Annual licensing fee. Every lawyer admitted to practice in Utah shall pay to the Bar on or before July 1 of each year an annual license fee for each fiscal year to be fixed by the Board from time to time and approved by the Supreme Court. The fee shall be sufficient to pay the costs of disciplinary administration and enforcement under this article.~~

~~(b) Failure to renew annual license. Failure to pay the annual licensing fee or provide the required annual licensing information shall result in administrative suspension. Any lawyer who practices law after failure to renew his or her license violates the Rules of Professional Conduct and may be disciplined. The executive director or his or her designee shall give notice of such removal from the rolls to such non-complying member at the designated mailing address on record at the Bar and to the state and federal courts in Utah.~~

~~(c) Reenrollment within three years of administrative suspension. A lawyer who is administratively suspended for failure to pay licensing fees for three years or less may apply in writing for reenrollment. The request should be made to the Utah State Bar Licensing Department and include payment equal to the amount of fees the lawyer would have been required to pay had the lawyer remained an inactive member to the date of the request for reenrollment and a \$200 reinstatement fee. Upon receiving the same, the Bar shall order reenrollment and so notify the courts. Re-enrollment based on failure to renew does not negate any orders of discipline.~~

~~(d) Reenrollment after three years of administrative suspension. A lawyer who is administratively suspended for three years or more for failure to pay license fees will be deemed to have resigned and shall comply with the admissions requirements set forth in the Supreme Court Rules of Professional Practice governing admission for lawyers who have resigned.~~

Prosecution and appeals.

Rule 14-510. Prosecution and appeals.

Rule 11-530. (a) Informal complaint of uUnprofessional conduct Complaints.

(a)(1) **Filing.** ~~The OPC or any person may initiate a~~ disciplinary proceeding ~~may be initiated against any member of the Bar Lawyer by any person, OPC counsel or the Committee, by filing with the Bar, in writing, an written informal eComplaint in ordinary, plain and~~ concise language setting forth the acts or omissions claimed to constitute unprofessional conduct.

Comment [LL13]: Recommendation 1.2

(1) If an individual initiates the Complaint, filing is complete when the Complaint is delivered to the OPC office in hard copy or electronic form, or through the OPC's website at opcutah.org. Upon filing, an informal complaint shall be processed in accordance with this article.

(2) If the OPC initiates the Complaint, filing is complete when the OPC delivers the Complaint to the Lawyer in hard copy or electronic form.

(b)(2) **Form of informal eComplaint form.** The informal eComplaint need not be in any particular form or style and may be by letter or other informal writing, although the OPC may provide a form ~~may be provided by the OPC to standardize the informal complaint-format. It is unnecessary that the~~ The informal eComplaint need not recite disciplinary rules, ethical canons, or a prayer requesting specific disciplinary action. The Complainant must sign the informal eComplaint ~~shall be signed by the complainant~~ and ~~shall set forth~~ include the eComplainant's address, and may list the names and addresses of other witnesses. The informal eComplaint ~~shall must be~~ notarized and contain a ~~verification declaration under penalty of perjury as attesting to the accuracy of the information contained in the eComplaint. In accordance with Rule 14-504(b),~~ Complaints filed by the OPC are not required to contain a verification such a declaration. ~~The substance of the An informal eComplaint's substance shall prevail over the form.~~

Comment [LL14]: Recommendation 4.1

~~(ca)(3)~~ **Initial investigation.** ~~Upon the filing of an informal~~ Upon receiving a
 eComplaint, ~~the~~ OPC ~~counsel shall will~~ conduct a preliminary investigation to ascertain
 whether the ~~informal eComplaint's~~ allegations are sufficiently clear ~~as to its~~
~~allegations.~~ If ~~it is~~ the allegations are not sufficiently clear, ~~the~~ OPC ~~counsel shall will~~
 seek additional facts from the eComplainant, who must, upon the OPC's request,
submit a signed writing documents or writings containing any additional facts shall also
be submitted in writing and signed by the complainant. Within three months after filing
a Complaint, the OPC must advise the Complainant concerning the initial investigation
of the Complaint.

~~(da)(4)~~ **Potential Referral to Professionalism and Civility Counseling Board.** ~~The OPC~~
~~counsel may –~~ In connection with any conduct that comes to ~~their its~~ attention, ~~whether~~
~~by means of an informal complaint, a preliminary investigation, or any other means,~~
~~OPC counsel may, at its discretion, –~~ refer any matter to the Professionalism and
Civility Counseling Board established ~~pursuant to the~~ under Rule 14-303 ~~Supreme~~
~~Court's Standing Order No. 7.~~ Such referral may be in addition to or in lieu of any
 further proceedings related to the subject matter of the referral. Such referral should be
 in writing and, ~~–~~ at the discretion of ~~the~~ OPC ~~counsel, –~~ may include any or all
 information included in ~~an informal~~ the eComplaint or additional facts submitted by
~~a~~ the eComplainant.

~~(ea)(5)~~ **Notice of informal complaint to Respondent.** ~~Upon completion of~~ Upon
~~completing~~ the preliminary investigation, ~~the~~ OPC ~~counsel shall will~~ determine
 whether the ~~informal eComplaint~~ can be resolved in the public interest, the
~~Respondent's~~ interest, and the eComplainant's interest. ~~OPC counsel and/or the~~
~~screening panel may use their efforts to resolve the informal complaint.~~ If the ~~informal~~
~~eComplaint~~ cannot be ~~so~~ resolved or if it ~~sets forth~~ alleges facts ~~which that~~, by their very
 nature, should be brought before the screening panel, or if good cause otherwise exists
 to bring the matter before the screening panel, ~~the~~ OPC ~~counsel shall cause to be~~
~~served~~ must:

Comment [LL15]: Recommendation 4.2

(1) serve the Respondent with a Notice identifying with particularity the possible violation(s) of the Rules of Professional Conduct or Licensed Paralegal Practitioner Rules of Professional Conduct raised by the Complaint as the OPC has preliminarily determined;

(2) attach a copy of the signed Complaint; and

(3) mail the documents ~~serve a NOIC by regular mail upon to~~ the ~~R~~Respondent's at the address ~~as~~ reflected in the ~~Bar's~~ records of the ~~Bar~~.

The NOIC shall have attached a true copy of the signed informal complaint against the respondent and shall identify with particularity the possible violation(s) of the Rules of Professional Conduct raised by the informal complaint as preliminarily determined by OPC counsel.

(~~fa~~)(6) Answer to ~~informal e~~Complaint. Within 201 days after the Respondent is served ~~ed~~ice of with the ~~Complaint and Notice~~NOIC on the respondent, the ~~R~~Respondent shall ~~must~~ file with the OPC counsel a signed, written and signed answer setting forth in full an explanation of explaining the facts surrounding the ~~informal e~~Complaint, together with all defenses and responses to the claims of possible misconduct. For good cause shown, the OPC counsel may extend the time for the filing of an answer by the respondent not to exceed an additional 3028 days. ~~Upon~~When the answer ~~having been~~is filed or if the ~~R~~Respondent fails to respond, the OPC ~~counsel shall will~~ refer the case to a screening panel to make a for investigation, consideration and determination or recommendation. The OPC ~~counsel shall must~~ forward a copy of the answer to the ~~C~~omplainant.

Comment [LL16]: Recommendation 4.2

(~~ga~~)(7) ~~Dismissal of informal~~Dismissing the ~~e~~Complaint.

(1) Reasons for dismissal. The OPC ~~counsel~~ may dismiss an ~~informal a~~ Complaint without referral to a screening panel hearing if the OPC determines the Complaint is: An informal complaint which, upon consideration of all factors, is determined by OPC counsel to be

(A) frivolous, unintelligible, ~~unsupported by fact, or fails to raise probable cause of any unprofessional misconduct;~~

(B) barred by the statute of limitations;

(C) more adequately addressed in another forum; ~~or unsupported by fact or which does not raise probable cause of any unprofessional conduct,~~

(D) ~~or one in which the OPC declines to prosecute, may be dismissed by OPC counsel without hearing by a screening panel.~~

(2) Notification and appeal.

(A) ~~When the OPC dismisses a Complaint, it OPC counsel shall must:~~

(i) ~~notify the eComplainant and the Respondent that the OPC has dismissed the informal eComplaint;~~

(ii) ~~and of such dismissal stating the reasons therefor for dismissal;~~
~~and~~

(iii) ~~include a notice of the Complainant's right to appeal an OPC decision to the Committee chair.~~

Comment [LL17]: Recommendation 4.5.

(B) ~~The eComplainant may appeal at the dismissal by OPC counsel by filing written notice with the Clerk of the Committee clerk within 1521 days after notification of the dismissal notification is mailed and serving the notice on the OPC. The Complainant has no other right of appeal in this article. Upon~~

(C) ~~On appeal, the Committee chair or a vice chair shall will conduct a de novo review of the file, either affirm the dismissal or require the OPC counsel to prepare a NOIC Notice (if necessary), and set the matter for hearing by a screening panel. In the event of If the chair's recusal es, the chair shall will appoint the vice chair or one of the screening panel chairs to review and determine the appeal.~~

Comment [LL18]: Recommendation 4.2

Rule 11-531.(b) Proceedings before Committee and screening panels.

(a)(1) Review and investigation. ~~In their role as fact finders and investigators,~~
screening panels ~~shall will~~ review all ~~informal~~ complaints ~~the OPC referred~~ to them
~~by OPC counsel,~~ including all ~~the~~ facts developed ~~by in~~ the ~~informal~~ complaint, ~~the~~
answer, ~~the contents of the file~~ investigation, and ~~the~~ hearing, and ~~the including the~~
OPC's recommendations ~~of OPC counsel~~.

(b) OPC's summary and Notice of additional alleged violations. ~~Prior to~~ Before any
screening panel hearing, ~~the~~ OPC may file with the clerk and serve on the ~~R~~Respondent
a summary of its investigation. If ~~filed~~ the OPC has determined, after serving
Respondent with the Notice, that the Respondent may have violated ~~the summary shall~~
~~identify with particularity~~ any additional ~~violations of the~~ Rules of Professional
Conduct or Licensed Paralegal Practitioner Rules of Professional Conduct, then the
summary must identify with particularity all such additional alleged violations. The
summary will serve as Notice of any additional violations the OPC did not previously
charge as subsequently determined by OPC after service of the NOIC. If the OPC
provided to the a summary to the screening panel, ~~the the~~ OPC must also provide the
summary ~~shall also be provided to the R~~Respondent ~~and shall serve as notice of any~~
~~additional violations not previously charged by OPC in the NOIC. If the OPC alleges~~
additional rule violations ~~are alleged~~ in the summary, the summary ~~shall must~~ be
served on the ~~R~~Respondent ~~no less than at least seven~~ 14 days ~~prior to before~~ the hearing.
In cases where a judicial officer has not addressed or reported a ~~R~~Respondent's alleged
misconduct, the screening panel ~~should may~~ not consider this inaction to be evidence
either that misconduct has occurred or has not occurred.

(c)(2) Respondent's appearance. The screening panel must, with at least 28 days'
notice, afford the Respondent an opportunity to appear before the screening panel
Before taking any action is taken that may result in the
~~recommendation~~ recommending of an admonition or public reprimand, ~~or the the~~
OPC's filing of an Action ~~formal complaint, the screening panel shall, upon at least 30~~

Comment [LL19]: Recommendation 4.2

~~days' notice, afford the respondent an opportunity to appear before the screening panel.~~

Respondent and any witnesses the Respondent ~~called by the respondent~~ may testify, and ~~the~~ Respondent may present oral argument with respect to the ~~informal~~ eComplaint.

(d) Respondent's brief. Respondent may ~~also~~ submit a written brief to the screening panel and serve a copy on the OPC at least ~~107~~ days ~~prior to~~ before the hearing, which ~~shall~~ may not exceed 10 pages ~~in length~~ unless ~~permission for enlargement is extended by the panel chair or vice chair~~ allows an extension for good cause ~~shown~~. The OPC will forward ~~A~~ a copy of the brief ~~shall be forwarded by OPC counsel to the~~ eComplainant. ~~If OPC identifies additional rule violations in the summary referenced in (b)(1), the respondent may file an additional written response addressing those alleged violations prior to the hearing.~~

(e)(3) Complainant's appearance. A eComplainant ~~shall have~~ the right to appear before the screening panel personally and may testify, together with any witnesses the Complainant ~~called by the complainant, may testify.~~

(f)(4) Right to hear evidence; cross-examination. The eComplainant and ~~the~~ ~~Respondent~~ ~~shall~~ have the right to be present during ~~the~~ presentation of ~~the~~ evidence unless excluded by the screening panel chair for good cause ~~shown~~. Respondent may be represented by counsel, and eComplainant may be represented by counsel or ~~some~~ another representative. Either eComplainant or ~~the~~ Respondent may request that the panel chair seek responses or pose questions to ~~from~~ the other party at the hearing ~~by posing questions or areas of inquiry to be asked by the panel chair~~. Direct cross-examination will ordinarily not be permitted ~~except unless~~, upon request, ~~when~~ the panel chair deems that it would materially assist the panel in its deliberations.

(g)(5) Rule ~~V~~ violations ~~N~~not ~~C~~charged by the OPC. During the screening panel hearing, but not after, the panel may find that rule violations have occurred not previously charged by the OPC. ~~in the NOIC or summary memorandum have occurred.~~ If so, the screening panel ~~shall~~ will give ~~the~~ ~~Respondent~~ a reasonable opportunity to respond during the hearing. The ~~Respondent~~ may address the additional charges at the

Comment [LL20]: Recommendation 4.2

hearing and ~~also may~~ file with the ~~Committee C~~lerk and serve on ~~the~~ OPC within two business days of the hearing a written response to the new charges along with supplemental materials related to the new charges. ~~Prior to~~Before making a determination or recommendation, the response and any supplemental materials ~~shall~~ must be reviewed and considered by ~~at least a quorum of~~ the panel members present at the original hearing.

~~(b)(6)~~ **Hearing R**~~ecord~~. The proceedings of any screening panel hearing ~~before a screening panel~~ under this ~~subsection (b) rule~~ shall will be recorded at ~~an level of~~ audio quality level that permits an accurate transcription of the proceedings. The ~~C~~lerk ~~shall~~ will assemble and deliver to the Committee chair a complete record of the proceedings ~~and deliver it to the chair of the Committee~~ upon the rendering of the panel's determination or recommendation to the Committee chair. The record of the proceedings before the panel ~~shall must~~ be preserved for ~~not less than at least~~ one year ~~following after~~ delivery of the panel's determination or recommendation to the ~~chair of the~~ Committee chair and for such additional period time as any further proceedings on the matter are pending or might be instituted under this ~~section~~rule.

~~(b)(7)~~ **Screening panel determination or recommendation**. ~~Upon~~After reviewing of all the facts developed by the ~~informal e~~Complaint, answer, investigation, and hearing, the screening panel ~~shall will~~ make one of the following determinations or recommendations:

~~(1)b)(7)(A)~~ The preponderance of evidence ~~presented~~ does not establish that the ~~R~~espondent ~~was~~ engaged in misconduct, in which case the screening panel will dismiss the informal eComplaint ~~shall be dismissed~~. A letter of caution may also be issued with the dismissal. The letter ~~shall must~~ be signed by ~~OPC counsel or~~ the screening panel chair or vice chair and ~~shall will~~ serve as a guide for the future conduct of the ~~R~~espondent. The ~~e~~Complainant ~~shall will also~~ be confidentially notified of the caution;

~~(b)(7)(B) The informal complaint shall be referred to the Diversion Committee for diversion. In this case, the specific material terms of the Diversion Contract agreed to by the respondent are to be recorded as a part of the screening panel record, along with any comments by the complainant. The screening panel shall have no further involvement in processing the diversion. The Diversion Committee shall process the diversion in accordance with Rule 14-533.~~

~~(2b)(7)(C) The informal eComplaint shall must be referred to the Professionalism and Civility Counseling Board established pursuant to under the Supreme Court's Standing Order No. 7Rule 14-303;~~

~~(3b)(7)(D) The informal eComplaint shall must be referred to the Committee chair with an accompanying screening panel recommendation that the #Respondent be admonished;~~

~~(4b)(7)(E) The informal eComplaint shall must be referred to the Committee chair with an accompanying screening panel recommendation that the #Respondent receive a public reprimand; or~~

~~(5b)(7)(F) The OPC must fileA formal an Action-complaint shall be filed againstagainst the #Respondent if the panel finds there is probable cause to believe there are grounds for public discipline and that merit an Actionformal complaint is merited.; or~~

~~(6) The OPC must file an ActionA formal complaint shall also be filed if the panel finds there was misconduct and the misconduct is similar to the misconduct alleged in a formal complaintan Action against the #Respondent that has been recommended by a screening panel or is pending in district court at the time of the hearing.~~

~~(jb)(8) Aggravation and Mmitigation.~~ The #Respondent and the OPC may present evidence and argument as to mitigating and aggravating circumstances during the

screening panel hearing, but this evidence ~~shall will~~ not be considered ~~until after~~unless the panel has determined the ~~R~~Respondent engaged in misconduct.

~~(k)(9)~~ **Multiple cases involving the same ~~R~~Respondent.** More than one case involving the same ~~R~~Respondent may be scheduled before the same panel, ~~but in~~ determining whether a rule has been violated in one case, only the factual allegations in that case may be considered, ~~a screening panel shall not consider the fact it may be hearing multiple cases against the same respondent.~~

~~(l)(10)~~ **Recommendation of admonition or public reprimand.** A screening panel recommendation that the ~~R~~Respondent ~~should~~ be disciplined under ~~subsection paragraph (b)(7)(D)(i)(3) or (b)(7)(E)(i)(4) shall must~~ be in writing and ~~shall~~ state the substance and nature of the ~~informal~~Complaint and defenses and the basis upon which the screening panel has concluded, by a preponderance of the evidence, that the ~~R~~Respondent ~~should~~ be admonished or publicly reprimanded. The screening panel must deliver A copyies of the recommendation ~~shall be delivered~~ to the Committee chair, ~~and a copy served upon the ~~R~~Respondent,~~ and the OPC.

Rule 11-532.(e) Exceptions to screening panel determinations and recommendations.

(a) Time to file. Within ~~30-28~~ days ~~of after~~ the date of service of the screening panel's determination ~~or recommendation: of the screening panel of a dismissal, dismissal with letter of caution, a referral to the Diversion Committee, a referral to the Professionalism Counseling Board, or the recommendation of an admonition, or the recommendation of a public reprimand,~~

(1) the OPC may file ~~with the Clerk of the Committee~~ an exceptions to the determination or recommendation and may request a hearing, ~~and Respondent will have 28 days to respond, and The respondent shall then have 30 days within which to make a response, and the response shall include respondents exceptions, if any, to a recommendation of an admonition or reprimand.~~

(2) Within 30 days after service of the recommendation of an admonition or public reprimand on respondent, the ~~Respondent~~ may file an ~~with the Clerk of the Committee~~ exceptions to the determination or recommendation and may request a hearing, and the OPC ~~shall will~~ have 30-28 days ~~within which to file a rerespondsponse.~~

(b) Reply. The Committee chair may allow a reply to any response.

(c) Actions. No exception may be filed to a screening panel determination that an ~~Action-formal complaint shall will~~ be filed against a ~~Respondent pursuant to Rule 14-511.~~

(d) Requirements. All exceptions ~~shall must~~ include a memorandum, not ~~to exceed exceeding~~ 20 pages, stating the grounds for review, the relief requested, and the bases in law or in fact for the exceptions. All exceptions, responses, and replies must be filed with the Committee clerk.

(e) Procedure on exceptions.

(1) Hearing not requested. If no hearing is requested, the Committee chair will review the record compiled before the screening panel.

1 (2) **Hearing requested.** If a request for a hearing is made, the Committee chair or
2 a screening panel chair designated by the Committee chair ~~shall will~~ serve as the
3 Exceptions Officer and hear the matter in an expeditious manner, with OPC
4 ~~€~~Counsel and the ~~€~~Respondent having the opportunity to be present and give an
5 oral presentation. The ~~€~~Complainant need not appear personally.

6 (3) **Transcript Request.** Upon request, the Committee chair ~~shall must~~ extend the
7 deadlines for filing exceptions or responses ~~no more than 60 days in order to~~
8 allow a party time to obtain a transcript of the screening panel proceedings, ~~so~~
9 ~~long as the audio or video recording is requested within 28 days. The requesting~~
10 ~~party will bear the costs of such transcript shall be borne by the requesting~~
11 ~~party. The party obtaining the transcript shall and must file the transcript with~~
12 the ~~Committee €~~clerk ~~at the time of or before filing an exception or response,~~
13 together with ~~an affidavit a declaration under penalty of perjury~~ establishing the
14 ~~transcript's chain of custody of the record.~~

15 (4) **Burden of proof.** The party who files ~~an exceptions under subsection (c) shall~~
16 ~~have has~~ the burden of showing that the determination or recommendation of the
17 screening panel is unsupported by substantial evidence or is arbitrary,
18 capricious, legally insufficient, or otherwise clearly erroneous.

19 (5) **Record on exceptions.** The proceedings of any hearing on ~~an exceptions~~
20 ~~under this subsection (d) shall must~~ be recorded at a level of audio quality that
21 permits an accurate transcription of the proceedings.
22

Rule 11-533.(g) General procedures.

~~(g)(1)(a)~~ **Testimony.** All testimony given before a screening panel or the Exceptions Officer ~~shall~~must be under oath.

~~(g)(2)(b)~~ **Service.** To the extent applicable, serving or filing documents ~~under this Rule is to be~~must be made in accordance with Utah Rules of Civil Procedure 5(b)(1), 5(d) and 6(a).

~~(g)(3)(c)~~ **~~Continuance~~ Abeyance of disciplinary proceedings.** A disciplinary proceeding may be held in abeyance by the Committee chair at any time before a screening panel hearing, prior to the filing of a formal complaint when the allegations or the ~~informal~~ eComplaint contain matters of substantial similarity to the material allegations of pending criminal or civil litigation in which the ~~R~~espondent is involved. Requests for abeyance and requests to remove proceedings from abeyance must be filed with the Committee clerk.

Rule 11-534.(e) Final Committee disposition.

(a) Final, written determination. Either ~~upon the completion of~~ upon completing the exceptions procedure under Rule 11-532~~subsection (d)~~ or if no exceptions have been filed ~~under subsection (c)~~, the Committee chair shall will issue a final, written determination ~~review the screening panel's findings and recommendations and will prepare the order to execute those findings and recommendations that either sustains, dismisses, or modifies the determination or recommendation of the screening panel.~~ The Committee chair may not make changes to screening panel findings and recommendations, other than changes needed for clarity. If no exception is filed, the Committee chair need not issue a ~~No final, written determination is needed by the Committee chair to a screening panel determination to for a dismissal, or a dismissal with a letter of caution, or a referral to the Diversion Committee if no exception is filed.~~

Comment [LL21]: Recommendation 5.8

(b) Public reprimand. If the screening panel recommends a public reprimand, the Respondent may, within 28 days, file an exception in accordance with Rule 11-532, or elect a trial de novo with the district court by notifying the Committee chair, who will authorize the Action in accordance with Rule 11-536.

Comment [LL22]: Recommendation 5.9

Rule 11-535.(f) Appeal of Appealing a final Committee determination to the Supreme Court.

(a)(1) Within ~~30~~28 days after ~~the Committee chair servicees of~~ a final, written ~~determination disposition, of the Committee chair under subsection (e), the~~ Respondent or ~~the~~ OPC may ~~file a request for review~~ appeal the disposition to the Supreme Court and ask the Court ~~by the Supreme Court seeking to reversal or~~ modification of the final ~~Committee determination disposition of the Committee. A~~ request for review. An appeal under this ~~subsection rule~~ shall ~~is only be~~ available in cases where exceptions have been filed. ~~under subsection (e). Until the time for filing an appeal expires, D~~ dissemination of disciplinary information ~~pursuant to Rules 14-504(b)(13) or 14-516 shall will~~ be automatically stayed ~~during the period within which a request for review may be filed under this subsection.~~ If a timely ~~request for review~~ appeal is filed, the stay ~~shall will~~ remain in place pending the Supreme Court's resolution ~~by the Supreme Court~~ unless the Court orders otherwise ~~orders~~.

(b)(2) ~~A request for review~~ An appeal under this ~~subsection (f) rule~~ will be subject to the procedures set forth in Title III of the Utah Rules of Appellate Procedure. Documents submitted under this ~~r~~Rule ~~shall must~~ conform to the requirements of Rules 27(a) and 27(b) of the Utah Rules of Appellate Procedure.

(c)(3) A party requesting a transcript ~~ion~~ of the record below ~~shall will~~ bear the costs. The party obtaining the transcript ~~shall must~~ file it with the appellate clerk ~~Clerk of the Court,~~ together with an affidavit establishing the transcript's chain of custody ~~of the record.~~

(d)(4) The Supreme Court ~~shall will~~ conduct a review of the matter on the record.

(e)(5) The party requesting review ~~shall have has~~ the burden of demonstrating that the Committee action was:

(15)(A) ~~B~~ based on a determination of fact ~~that is~~ not supported by substantial evidence when viewed in light of the whole record before the Court;

(25)(B) ~~A~~an abuse of discretion;

(35)(C) ~~A~~arbitrary or capricious; or

(45)(D) ~~E~~contrary to Chapter 11, Articles 5 ~~and Chapter 14, Article 6~~ of Chapter
14 of the Supreme Court Rules of Professional Practice ~~of the Supreme Court~~.

Rule ~~14-5111-536~~. Proceedings subsequent to finding of probable cause Actions in district court.

(a) ~~Commencement of~~ ing an a ~~Action~~. If the screening panel finds probable cause to believe ~~that~~ there are grounds for public discipline ~~and that~~ merit filing an Action ~~a formal complaint is merited, the OPC counsel shall will prepare and file with the district court an Action~~ a formal complaint in district court setting forth in plain and concise language the facts upon which the charge of unprofessional conduct is based and the applicable provisions of the Rules of Professional Conduct. The Committee chair must be given notice of the screening panel recommendation and a copy of the pleadings ~~formal complaint shall be signed by the Committee chair or, in the chair's absence, by the Committee vice chair or a screening panel chair designated by the Committee chair.~~

Comment [LL23]: Recommendation 5.10

(b) **Venue**. The ~~a~~ Action shall must be brought ~~and the trial shall be held;~~

(1) in the county in which an alleged offense occurred; or

(2) in the county where the ~~r~~ Respondent resides, ~~or~~ practices law, or last practiced law in Utah; provided, however, that if the ~~r~~ Respondent is not a resident of Utah and the alleged offense is not committed in Utah, the ~~trial shall be held~~ Action must be brought in a county designated by the Chief Justice of the Supreme Court. ~~The parties may stipulate to a change of venue in accordance with applicable law.~~

(c) **Style of proceedings**. All proceedings instituted by the OPC ~~shall must~~ be styled: "In the Matter of the Discipline of (~~name of r~~ Respondent's name and ~~respondent's~~ Bar number), Respondent."

~~(d) Change of judge as a matter of right.~~

~~(1) Notice of change. The respondent or OPC counsel may, by filing a notice indicating the name of the assigned judge, the date on which the formal complaint was filed, and that a good faith effort has been made to serve all~~

~~parties, change the judge assigned to the case. The notice shall not specify any reason for the change of judge. The party filing the notice shall send a copy of the notice to the assigned judge and to the presiding judge. The party filing the notice may request reassignment to another district court judge from the same district, which request shall be granted. Under no circumstances shall more than one change of judge be allowed to each party under this rule.~~

~~(2) **Time.** Unless extended by the court upon a showing of good cause, the notice must be filed within 30 days after commencement of the action or prior to the notice of trial setting, whichever occurs first. Failure to file a timely notice precludes any change of judge under this rule.~~

~~(3) **Assignment of action.** Upon the filing of a notice of change, the assigned judge shall take no further action in the case. The presiding judge shall promptly determine whether the notice is proper and, if so, shall reassign the action. If the presiding judge is also the assigned judge, the clerk shall promptly send the notice to the Chief Justice of the Supreme Court, who shall determine whether the notice is proper and, if so, shall reassign the action.~~

~~(4) **Rule 63 and Rule 63A unaffected.** This rule does not affect any rights a party may have pursuant to Rule 63 or Rule 63A of the Utah Rules of Civil Procedure.~~

~~(ed)~~ **Actions tried to the bench; findings and conclusions.** All ~~a~~^Actions tried according to this article ~~shall~~^{will} be tried to the bench, and the district court ~~shall~~^{will} enter findings of fact and conclusions of law. Neither masters nor commissioners ~~shall~~^{may} be ~~utilized~~^{used}.

~~(fe)~~ **Sanctions hearing.** ~~Upon a finding of misconduct and as soon as reasonably practicable, within a target date of not more than 30 days after~~^{If} the district court ~~enters its findings of fact and conclusions of law~~^{finds misconduct}, it ~~shall~~^{will} hold a hearing to receive relevant evidence in aggravation and mitigation, and ~~shall~~^{will} ~~within five days thereafter,~~^{within five} enter an order sanctioning the ~~r~~^Respondent. Upon reasonable notice to

Comment [LL24]: Recommendation 8.4

the parties, the court, at its discretion, may hold the sanctions hearing immediately after the misconduct proceeding.

(g) **Review.** Either the OPC or the Respondent may appeal ~~Any discipline order by the district court may be reviewed by the Supreme Court through a petition for review pursuant to the Utah Rules of Appellate Procedure~~ the discipline order to the Supreme Court.

1 | **Rule ~~14-532~~11-537. Failure to answer charges.**

2 | (a) **Failure to answer.** If having received actual notice of the charges filed, the
3 | ~~#~~Respondent fails to answer the charges within ~~20~~1 days, the ~~#~~Respondent ~~shall~~ will be
4 | deemed to have admitted the factual allegations.

5 | (b) **Failure to appear.** If ~~the Committee orders~~ the ~~#~~Respondent ~~to appear and the~~
6 | ~~Respondent, having been ordered by the Committee to appear and~~ having received
7 | actual notice of that order, fails to appear, the ~~#~~Respondent ~~shall~~ will ~~have been~~ deemed
8 | to have admitted the factual allegations which were the subject of such appearance. The
9 | Committee ~~may~~ shall not, absent good cause, continue or delay proceedings because of
10 | the ~~#~~Respondent's failure to appear.

11 | (c) **Notice of consequences.** Any notice within the scope of paragraph (a) or (b) above
12 | ~~shall~~ must expressly state the consequences, as specified above, of the ~~#~~Respondent's
13 | failure to answer or appear.

1 | Rule ~~14-527~~11-538. Appointment of trustee to protect clients' interest when ~~H~~lawyer
2 | disappears, dies, is suspended or ~~disbarred~~delicensed, or is transferred to disability
3 | status.

4 | (a) **Protective appointment of trustee.** If a ~~H~~lawyer has ~~disappeared or died~~ or cannot
5 | be located, or if a ~~R~~espondent has been suspended, ~~or disbarred~~ delicensed, or
6 | transferred to disability status, and if there is evidence that the ~~L~~awyer or ~~R~~espondent
7 | has not complied with the provisions of Rule ~~14-526~~11-570 and no partner, executor, or
8 | other responsible party capable of conducting the ~~L~~awyer's or ~~R~~espondent's affairs is
9 | known to exist, a district judge of the judicial district in which the ~~L~~awyer or
10 | ~~R~~espondent maintained a principal office may, on the OPC's request, appoint a trustee
11 | to inventory the ~~L~~awyer's or ~~R~~espondent's files, notify the ~~L~~awyer's or ~~R~~espondent's
12 | clients, distribute the files to the clients, return unearned fees and other funds, and take
13 | any additional action the judge authorizes.

14 | (b) **Confidentiality.** No attorney-client relationship exists between the client and the
15 | trustee except to the extent necessary to maintain and preserve the client's
16 | confidentiality ~~of the client~~. The trustee ~~shall~~may not disclose any information
17 | contained in the files so inventoried without the consent of the client to whom such files
18 | relate, except as necessary to carry out the court's order ~~of the court~~ making the
19 | appointment.

20 | (c) **Immunity.** Any person appointed as a trustee ~~shall~~ have the immunity granted
21 | by Rule ~~14-513~~11-540.
22 |

Rule ~~14-530~~11-539. Costs.

(a) **Assessment.** The prevailing party in a ~~n proceeding on a formal complaint~~Action may be awarded judgment for costs in accordance with Rule 54(d) of the Utah Rules of Civil Procedure.

(b) **Offer of discipline by consent.** ~~The~~ OPC ~~counsel shall~~will not be deemed to have prevailed in the Action on any count ~~of the complaint in the formal complaint~~ unless the sanction imposed exceeds any sanction to which the ~~#~~Respondent conditionally consented under Rule ~~14-520(b)11-565 prior to before~~ the hearing.

(c) **Disability cases.** Costs ~~shall~~will not be awarded in disability cases except pursuant to paragraph (d).

(d) **Trusteeship.** Court-appointed trustees, including the OPC in cases in which ~~it~~OPC is appointed the trustee, may collect costs for ~~notification to~~notifying the ~~#~~Respondent's clients, including charges for copying, postage, publication, and fees from money collected.

1 ~~Rule 14-512. Sanctions.~~

2 ~~The imposition of sanctions against a respondent who has been found to have engaged~~

3 ~~in misconduct shall be governed by Chapter 14, Article 6, Imposing Lawyer Sanctions.~~

Rule ~~14-513~~11-540. Immunity from civil suits.

Participants in proceedings conducted under this article ~~shall be~~are entitled to the same protections for statements made in the course of the proceedings as participants in judicial proceedings. Except as provided in Utah Rules of Civil Procedure 65A and 65B, ~~The~~ the district courts, Committee members, special counsel appointed pursuant to Rule ~~14-517(f)~~11-542, supervising attorneys engaged in pro bono assistance, trustees appointed pursuant to Rule ~~14-527~~11-538, and OPC ~~e~~Counsel and staff ~~shall~~will be immune from suit, ~~except as provided in Utah Rules of Civil Procedure 65A and 65B,~~ for any conduct committed in the course of their official duties, including the investigatory stage. There is no immunity from civil suit for intentional misconduct.

Rule ~~14-514~~11-541. Service.

~~(a) Service of formal complaint or other petition. Service of the formal complaint upon the respondent in any disciplinary proceeding or the petition in any disability proceeding shall be made in accordance with the Utah Rules of Civil Procedure.~~

~~(b) Service of other papers. Service of any other papers or notices required by this article shall~~ Serving documents on Respondent in connection with an Action must be made in accordance with the Utah Rules of Civil Procedure.

Rule ~~14-517~~11-542. Additional rules of procedure.

(a) **Governing rules.** ~~Except as~~Unless otherwise provided in this article, the Utah Rules of Civil Procedure, ~~the~~ Utah Rules of Appellate Procedure ~~governing civil appeals~~, and ~~the~~ Utah Rules of Evidence apply in ~~formal discipline a~~Actions and disability actions.

(b) **Standard of proof.** ~~A Formal complaints of~~ misconduct Action, petitions for reinstatement and ~~readmission~~relicensure, and petitions for transfer to and from disability status ~~shall~~will be established by a preponderance of the evidence. A ~~Motions~~ for interim ~~suspension~~discipline pursuant to ~~under~~ Rule ~~14-518~~11-563 ~~shall~~will also be established by a preponderance of the clear and convincing evidence.

Comment [LL25]: Recommendation 7.3

(c) **Burden of proof.** The OPC carries the burden of proof in discipline proceedings ~~and seeking discipline or~~ transfer to disability status ~~is on the OPC~~. The Respondent carries the burden of proof in ~~proceedings~~ seeking a reversal of a screening panel recommendation of discipline, ~~or seeking~~ reinstatement, ~~readmission, relicensure,~~ or transfer from disability status ~~is on the respondent~~.

(d) **Related pending litigation.** ~~Upon a showing of good cause, a~~Either party may request a stay of an formal a Action or a disability proceeding may be stayed because of substantial similarity to the material allegations of a pending criminal, civil, or disciplinary ~~a~~Action.

(e) **The eComplainant's actions.** An Action will not be abated due to:

(1) Neither unwillingness of the eComplainant's unwillingness to prosecute a ~~ne~~ informal or formal eComplaint, nor

(2) settlement or compromise between the eComplainant and the ~~ne~~ Respondent, nor

or

(3) nor restitution by the ~~ne~~ Respondent, shall, in and of itself, justify abatement of disciplinary proceedings.

(f) ~~Informal and formal complaints~~ Complaints against OPC ~~e~~Counsel, Committee members, the ~~Board~~Bar Commission, or ~~l~~awyers employed by the ~~Utah State Bar~~. The Committee chair will assign a screening panel ~~A~~any ~~informal e~~Complaint filed against OPC ~~e~~Counsel, ~~a~~ members of the Committee ~~member~~, a ~~Board~~Bar Commission member, or a ~~l~~awyer employed by the Utah State Bar, ~~or a member of the Board shall be assigned by the Chair to a screening panel~~. The ~~chair of the~~ assigned panel ~~chair shall will~~ review the ~~informal e~~Complaint and any additional material, ~~if any~~, that the screening panel chair asks the ~~r~~Respondent to provide.

(1) ~~An informal e~~Complaint will be dismissed without hearing by a screening panel if ~~which, upon~~after consideration ~~of~~ing all factors, the chair determines the Complaint is ~~is determined by the screening panel chair to be~~

(A) frivolous or ~~unintelligible~~;

(B) barred by the statute of limitations;

(C) is ~~being~~ or should have been addressed in another more appropriate forum; or

(D) unsupported by fact or ~~which~~ does not raise probable cause of any unprofessional conduct, ~~shall be dismissed without hearing by a screening panel~~.

(2) The ~~chair of the~~ screening panel ~~chair shall must~~ notify the ~~C~~eomplainant of the dismissal and stating the reasons ~~therefor~~for dismissal.

(3) The ~~e~~Complainant may appeal a the screening panel chair's dismissal ~~by the chair of the screening panel~~ to the Committee chair within 15 ~~4~~ days after notification of the dismissal is mailed.

(4) Upon appeal, the Committee chair ~~shall must~~ conduct a de novo review of the file, and either affirm or reverse the dismissal.

(5) If the screening panel chair determines not to dismiss the ~~e~~Complaint, or the Committee chair reverses the dismissal on appeal, the Committee chair ~~shall~~ must request that the Supreme Court appoint a special counsel to present the case, and if necessary, a special screening panel. In all other respects, the matter ~~shall will~~ proceed in accordance with this article. Special counsel ~~shall must~~ be a lawyer outside of the OPC appointed by the Supreme Court to act as counsel for investigation and prosecution of the ~~disciplinary e~~Complaint. Special counsel ~~shall must~~ notify the OPC of the results of the investigation.

Diversion.

Rule 11-550. Diversion referrals, authority, and responsibilities.

Comment [LL26]: Recommendation 6.1 and 6.2.

(a) **Referral to diversion.** In a matter involving less serious misconduct ~~as outlined in~~ under subsection Rule 11-551(e), upon receipt of an informal ~~upon receiving a~~ complaint and before the matter is submitted to a screening panel ~~filing a formal complaint~~, the ~~Respondent~~ Respondent may have the option of electing to have the matter referred to diversion, the appropriateness of which the OPC ~~will be determined by the chair of the Diversion Committee after consultation with OPC~~. The option for diversion also ~~may be initiated by OPC or the Ethics and Discipline Committee screening panel.~~ (b) Diversion Committee.

Comment [LL27]: Recommendation 6.2

~~(b)(1) Composition. Members of the Diversion Committee shall be appointed by the Supreme Court. The committee shall consist of five members, four of whom shall be members of the Bar who have demonstrated a high standard of professional conduct, preferably with at least one Bar member having past experience on the Supreme Court Ethics and Discipline Committee, and one public member with professional training in the area of substance abuse and/or stress management. All appointments shall be for four year terms with one of the lawyers' terms expiring each year. Committee members shall not serve more than two consecutive terms. The Supreme Court shall designate one of the Bar members as committee chair.~~

(b)(2) **Authority and responsibility.** The ~~Diversion Committee~~ OPC may negotiate and execute diversion contracts, assign monitoring to a ~~lawyers~~ lawyer or assistance program, determine ~~if the Lawyer~~ if the Lawyer ~~compliance~~ compliance with the ~~terms of~~ terms of diversion contracts, and determine ~~if the Lawyer~~ if the Lawyer ~~fulfillment~~ fulfillment or ~~any~~ any materially breached ~~the of~~ the of diversion contracts, ~~subject to review under subsection (j)(3) of this rule,~~ and adopt such policies and procedures as may be appropriate to accomplish its duties ~~under this rule~~. The ~~Diversion Committee~~ OPC shall ~~have~~ has authority to establish ~~subcommittees~~ subcommittees of volunteer attorneys and other professionals for the specific purpose of monitoring the

Comment [LL28]: Recommendation 6.2

1 compliance of any attorney under diversion and reporting compliance to the OPC, ~~and~~
2 ~~the Diversion Committee on a regular basis.~~

3 (ec) **Notice to eComplainant.** The OPC will notify the eComplainant, if any, of the
4 proposed decision to refer the #Respondent to diversion, and the eComplainant may
5 submit written comments. The eComplainant will be notified when the eComplaint is
6 diverted and when the eComplaint is dismissed. All notices will be sent to the
7 eComplainant's address ~~of record on file with the~~ according to the OPC's records. Such
8 decision to divert or dismiss is not appealable.

9 ~~(i)(d)~~ **Effect of ~~non-participation~~not participating in diversion.** The #Respondent has
10 the right to decline to participate in diversion. If the #Respondent chooses not to
11 participate in diversion, the matter proceeds ~~pursuant to the Rules of Lawyer Discipline~~
12 ~~and Disability~~ under these rules.

Rule 11-551. Circumstances warranting diversion.

(a) ~~Less serious~~**Prohibited** misconduct. Conduct ~~which may only be considered less serious misconduct warranting diversion if it does not~~**would** result in a suspension or ~~disbarment~~**delicensure is not considered to be less serious misconduct**. Conduct is not ordinarily considered less serious misconduct if any of the following considerations apply:

- (1) the misconduct involves the misappropriation of client funds;
- (2) the misconduct results in or is likely to result in substantial prejudice to a client or other person, absent adequate provisions for restitution;
- (3) the ~~#~~**R**espondent has been sanctioned in the last three years;
- (4) the misconduct is of the same nature as misconduct for which the ~~#~~**R**espondent has been sanctioned in the last three years;
- (5) the misconduct involves dishonesty, deceit, fraud, or misrepresentation;
- (6) the misconduct constitutes a substantial threat of irreparable harm to the public; a felony; or a misdemeanor which reflects adversely on the ~~#~~**R**espondent's honesty, trustworthiness or fitness as a **L**awyer; or
- (7) the misconduct is part of a pattern of similar misconduct.

(b) **Factors for consideration.** ~~The Diversion Committee~~**OPC** considers ~~the following these~~ factors in negotiating and executing the diversion contract:

- (1) whether ~~in the OPC's opinion~~, the presumptive sanction that would be imposed, ~~in the opinion of OPC or the Diversion Committee~~ is likely to be no more severe than a public reprimand or private admonition;
- (2) whether participation~~ing~~ in diversion is likely to improve the ~~#~~**R**espondent's future professional conduct and accomplish the goals of **L**awyer discipline;
- (3) whether aggravating or mitigating factors exist; and

Comment [LL29]: Recommendation 6.2

Comment [LL30]: Recommendation 6.2

1 (4) whether diversion was already tried.

2

Rule 11-552.(f) Diversion contract.**(a)(1) Contract requirements.**

(1) If the ~~R~~espondent agrees or elects to participate in diversion ~~as provided by this rule~~, the terms of the diversion ~~shall~~ must be set forth in a written contract. ~~If the contract is entered prior to a hearing of a screening panel of the Ethics and Discipline Committee pursuant to Rule 14-510(b), the~~ The contract ~~shall~~ will be between the ~~R~~espondent and the OPC. ~~If diversion is agreed to and entered after a screening panel of the Ethics and Discipline Committee has convened pursuant to Rule 14-510(b), the contract shall be made as part of the decision of that screening panel. OPC will memorialize the contract and decision. If diversion is agreed to and entered after a complaint has been filed pursuant to Rule 14-512, the diversion contract shall be made as part of the ruling and order of the Court.~~

Comment [LL31]: Recommendation 6.2

(2) ~~Except as otherwise part of an order of a court, the Diversion Committee~~ The OPC ~~shall~~ must monitor and supervise the conditions of diversion and the terms of the diversion contract.

(3) The contract ~~shall~~ must specify the program(s) to which the attorney ~~will~~ shall be diverted, the general purpose of the diversion, the manner in which compliance is to be monitored, and any requirement for payment of restitution or cost.

(4) The ~~R~~espondent ~~attorney shall~~ will bear the burden of drafting and submitting the proposed diversion contract. Respondent may ~~utilize~~ use counsel to assist in the negotiation phase of diversion. Respondent may also request that the OPC draft the proposed diversion contract.

(5) Respondent may also ~~utilize Bar use~~ benefits programs provided by the Bar, such as a lawyer or licensed paralegal practitioner assistance program to assist in developing terms and conditions for the diversion contract appropriate to that

~~R~~espondent's particular situation. Use of a lawyer~~s~~ or licensed paralegal practitioner assistance program to assess appropriate conditions for diversion ~~shall will~~ not conflict that entity from providing services under the contract.

(6) The terms of each contract ~~shall must~~ be specifically tailored to the ~~R~~espondent's individual circumstances. The contract is confidential and its terms ~~shall may~~ not be disclosed to anyone other than the parties to the contract.

(b)(2) Contract terms. All diversion contracts must contain at least ~~all the following~~:

(12)(A) the signatures of respondent, ~~his~~ Respondent's counsel (if any), and the ~~chair of the Diversion Committee~~ OPC;

(2)(B) the terms and conditions of the plan for ~~R~~espondent and, the identity, if appropriate, of any service provider, mentor, monitor and/or supervisor and that individual's specific responsibilities. If Respondent uses a professional or service ~~is utilized~~, and it is necessary to disclose confidential information, ~~R~~espondent must sign a limited conditional waiver of confidentiality permitting the professional or service to make the necessary disclosures ~~in order~~ for the ~~R~~espondent to fulfill ~~his~~ the Respondent's duties under the contract;

(32)(C) the necessary terms providing for oversight of ~~fulfillment of~~ fulfilling the contract terms, including provisions for those involved to report any alleged breach of the contract to the OPC;

(42)(D) the necessary terms providing that ~~R~~espondent will pay all costs incurred in connection with the contract and those costs further specified ~~pursuant to under subsection~~ Rule 11-555(k) and any costs associated with the ~~e~~ Complaints to be deferred; and

(5E) a specific acknowledgement that a material violation of a contract term renders the ~~R~~espondent's participation in diversion voidable by the ~~chair of the Diversion Committee or his designee~~ OPC.

Comment [LL32]: Recommendation 6.2

1 ~~(c)(3)~~ **Amendments.** The contract may be amended ~~if on subsequent agreement of the~~
2 ~~Respondent and the~~ OPC ~~agree.~~

3 ~~(f)(4) The chair of the Ethics and Discipline Committee and OPC shall be given copies of~~
4 ~~every diversion contract entered and signed by the respondent and the Diversion~~
5 ~~Committee chair.~~

6 ~~(g) Affidavit supporting diversion.~~ A diversion contract must be supported by the
7 ~~respondents or the respondents lawys affidavit or declaration as approved by the~~
8 ~~Diversion Committee setting forth the purpose for diversion and how the specific terms~~
9 ~~of the diversion contract will address the allegations raised by the complaint. The~~
10 ~~respondent is not required to admit to the allegations in the complaint upon entering~~
11 ~~diversion. However, an admission and/or acknowledgement may be relevant and~~
12 ~~necessary as part of treatment in diversion. Such an admission shall be confidential for~~
13 ~~treatment purposes, shall not be released to any third party, and shall not be treated~~
14 ~~as an admission against interest nor used for future prosecution should diversion fail.~~

15 ~~(h)(d)~~ **Status of complaint.** After a diversion contract is executed by the ~~Respondent~~,
16 the ~~disciplinary c~~omplaint is deferred pending successful completion of the contract.

Rule 11-553. Respondent's participation in diversion.

(a) Diversion may require the Respondent's participation ~~of the respondent~~ in one or more of the following:

(1) fee arbitration;

(2) mediation;

(3) law office management assistance;

(4) lawyer or licensed paralegal practitioner assistance programs;

(5) psychological and behavioral counseling;

(6) monitoring;

(7) restitution;

(8) continuing legal education programs including, but not limited to, ethics school; or

(9) any other program or corrective course of action to address the ~~Respondent's~~ conduct.

Rule 11-554.(j) Termination of diversion.

(a) (i)(1) Fulfillment of the contract. The contract terminates when the ~~Respondent~~ Respondent has fulfilled the contract terms ~~of the contract~~ and gives the ~~Diversion Committee and~~ OPC an affidavit or declaration demonstrating fulfillment. Upon ~~receipt of~~ receiving this affidavit or declaration, the ~~Diversion Committee and~~ OPC must acknowledge receipt and ~~request that the chair of the Ethics and Discipline Committee or his designee~~ dismiss any ~~Complaint(s)~~ Complaint(s) deferred pending successful completion of the contract or notify the ~~Respondent~~ Respondent that fulfillment of the contract is ~~disputed-terminated~~ based on an OPC claim of material breach. ~~The complainant cannot appeal the dismissal.~~ Determinations under this rule are not subject to further review and are not reviewable in any proceeding. Successfully completing ~~on~~ of the contract is a bar to any further disciplinary proceedings based on the same allegations and successfully completion ~~ing~~ of diversion ~~shall~~ may not constitute a form of discipline.

(b) (i)(2) Material breach. ~~A material~~ Materially breaching ~~of~~ the contract is cause for terminating ~~on~~ of the contract. After a material breach, ~~the~~ the OPC must notify the ~~Respondent~~ Respondent of the alleged breach and intent to terminate the diversion. Thereafter, disciplinary proceedings may be instituted, resumed, or reinstated.

(j)(3) Review by the chair. ~~The Diversion Committee may review disputes regarding the alleged material breach of any term of the contract on the request of the respondent or OPC. The request must be filed with the Diversion Committee chair within 15 days of notice to the respondent of the determination for which review is sought. The respondent is entitled to a hearing before the Diversion Committee on any alleged breach to the diversion contract. Determinations under this section are not subject to further review and are not reviewable in any proceeding.~~

Comment [LL33]: Recommendation 6.2

Rule 11-555.(4) Diversion Costs.

~~Upon entering diversion, r~~Respondent shall ~~must~~ pay an initial fee of \$250 ~~upon~~
~~entering diversion, -During diversion, respondent shall must pay and~~ a ~~monthly~~ fee of
\$50 ~~during diversion, per month unless the contract specifies otherwise.~~ All such fees
are payable to the Bar's general fund. ~~These fees may be waived upon a hardship~~
~~request, the validity or appropriateness of which shall be determined by the chair of the~~
~~Diversion Committee or his designee.~~

Discipline.

Rule ~~14-509~~11-560. Grounds for discipline.

It ~~shall be~~constitutes a ground for discipline for a Lawyer to:

(a) violate ~~these rules, the~~ Rules of Professional Conduct, or the Licensed Paralegal Practitioner Rules of Professional Conduct;

(b) ~~willfully~~ violate a valid court or Committee order ~~of a court or a screening panel~~ imposing discipline;

(c) be publicly disciplined in another jurisdiction;

(d) fail to comply with the requirements of Rule ~~14-526(e)~~11-570; or

(e) fail to notify the OPC of public discipline in another jurisdiction in accordance with Rule ~~14-522(a)~~11-567(a).

Rule ~~14-515~~11-561. Accessing to disciplinary information.

(a) **Confidentiality.** ~~Prior to the~~Before the OPC filing of a formal complaint initiates an Action or the issuance of a public reprimand pursuant to Rule 14-510 in a discipline matter, OPC Counsel, OPC employees staff, the Committee, Committee volunteers, Committee staff, Committee employees, special counsel appointed pursuant to Rule ~~14-517~~(f)11-542, and special counsel employees or assistants, ~~shall~~ must keep the proceeding confidential, ~~except that~~ but the OPC may disclose the pendency, subject matter, and status of an investigation ~~may be disclosed by OPC counsel~~ if the proceeding is based upon allegations that have been disseminated through the mass media, or include either the conviction of a crime or reciprocal public discipline. The proceeding ~~shall is not~~ not be deemed confidential to the extent:

- (1) the Respondent has given an express written waiver of confidentiality;
- (2) there is a need to notify another person or organization ~~—~~, including the Bar's Lawyer's Fund for Client Protection or Licensed Paralegal Practitioners' Fund for Client Protection ~~—~~, in order to protect the public, the administration of justice, or the legal profession; ~~or~~
- (3) the information is required in a subsequent Lawyer sanctions hearing; or
- (4) a referral is made to the Professionalism and Civility Counseling Board pursuant to Rule 14-510 (a)(4) or (b)(6)(C); ~~in the~~ in the which event of such a referral, OPC Counsel, ~~members of the~~ Committee members, and of any screening panel members, and ~~members of the~~ Professionalism and Civility Counseling Board members may share all information between and among them with the expectation that such information will in all other respects be subject to applicable confidentiality rules or exceptions.

(b) **Public proceedings.** Upon ~~the filing of an~~ Action formal complaint in a discipline matter ~~or, the filing of~~ a petition for reinstatement or relicensure, ~~or the filing of a~~

Comment [LL34]: Recommendation 5.6, amendments effective Nov. 1, 2019.

~~motion or petition for interim suspension,~~ the proceedings are public, except as provided in paragraph (d) below.

(c) **Proceedings alleging disability.** Proceedings for transfer to or from disability status are confidential. All orders transferring a ~~R~~Respondent to or from disability status are public.

(d) **Protective order.** ~~In order to~~ To protect the interest of a ~~C~~Complainant, witness, third party, or ~~R~~Respondent, the district court may, ~~upon application of~~ upon application of any person's request and for good cause ~~shown~~, issue a protective order prohibiting the disclosure of specific information and direct that the proceedings be conducted so as to implement the order, including requiring that the hearing be conducted in such a way as to preserve the confidentiality of the information that is the subject of the application.

(e) **Request for nonpublic information.** Nonpublic information ~~shall be~~ is confidential, other than as authorized for disclosure under paragraph (a), unless: ~~(e)(1) the request for information is made by the Board, any Bar committee, a committee or consultant appointed by the Supreme Court or the Board to review OPC operations, or the executive director, and is required in the furtherance of their duties; or (e)(2) the request for information is approved by the OPC and there is requestor compliance complies with the provisions of paragraphs (f) and (g) of this rule.~~

(f) **Notice to the ~~R~~Respondent.** Except as provided in paragraph (g), if the Committee decides to provide nonpublic information requested pursuant to paragraph (e), and if the ~~R~~Respondent has not signed an express written waiver permitting the party requesting the information to obtain the nonpublic information, the ~~R~~respondent ~~shall~~ must be notified in writing at the ~~R~~respondent's ~~last known designated~~ mailing address as shown by Bar records of ~~that~~ the information ~~which that~~ has been requested and by whom, together with a copy of the information proposed to be released. The notice ~~shall~~ must advise the ~~R~~respondent that the information ~~shall will~~ be released ~~at the end of~~ 21 days ~~following after the notice's~~ mailing ~~of the notice~~ unless the ~~R~~respondent objects to the disclosure. If the ~~R~~respondent timely objects to the disclosure, the information ~~shall~~

1 | must remain confidential unless the requesting party obtains a court order authorizing
2 | its release.

3 | (g) **Release without notice.** If a requesting party as outlined in paragraph (e)(2) has not
4 | obtained an express written waiver from the ~~R~~Respondent to obtain nonpublic
5 | information, and requests that the information be released without giving notice to the
6 | ~~R~~Respondent, the requesting party ~~shall~~must certify that:

7 | (1) the request ~~is made in furtherance of~~will further an ongoing investigation into
8 | the Respondent's misconduct ~~by the respondent~~;

9 | (2) the information is essential to that investigation; and

10 | (3) ~~disclosure of~~disclosing the existence of the investigation to the ~~R~~Respondent
11 | would seriously prejudice that investigation.

12 | (h) **Disclosure without notice.** ~~Ø~~The OPC ~~can~~may disclose nonpublic information
13 | without notice to the ~~R~~Respondent if:

14 | (1) ~~disclosure is made in furtherance of~~disclosure furthers an ongoing OPC
15 | investigation into the Respondent's misconduct ~~by the respondent~~; and

16 | (2) ~~the information that is sought through~~ disclosure is essential to that
17 | investigation.

18 | (i) **Duty of Pparticipants' duty.** OPC ~~C~~counsel, OPC ~~employees~~staff, the Committee,
19 | Committee volunteers, Committee staff, Committee employees, special counsel
20 | appointed pursuant to Rule ~~14-517(f)~~11-542, and special counsel employees or assistants
21 | in a proceeding under these rules ~~shall conduct themselves so as to~~must maintain
22 | confidentiality. ~~Except as~~Unless otherwise authorized ~~by other statutes or rules~~, persons
23 | receiving private records under paragraph (e) will not provide access to the records to
24 | anyone else.

Rule ~~14-516~~11-562. Dissemination of ~~Disseminating~~ disciplinary information.

(a) **Notice to disciplinary agencies.** The OPC ~~shall~~must ~~transmit~~send notice of public discipline, resignation with discipline pending, transfers to or from disability status, reinstatements, ~~readmissions~~relicensures, and certified copies of judgments of conviction to the disciplinary enforcement agency of every other jurisdiction in which the ~~R~~Respondent is ~~admitted~~licensed, and to the American Bar Association's National Lawyer Regulatory Database ~~maintained by the American Bar Association~~.

(b) **Notice to the public.** The ~~executive director~~OPC ~~shall~~will ~~publish~~cause notices of admonition, public reprimand, suspension, ~~disbarment~~delicensure, resignation with discipline pending, transfer to disability status, and petitions for reinstatement or ~~readmission~~relicensure to the OPC's website and be published in the Utah Bar Journal.

~~. The executive director also shall cause notices of suspension, disbarment, resignation with discipline pending, transfer to disability status and petitions for reinstatement or readmission to be published in a newspaper of general circulation in each judicial district within Utah in which the respondent maintained an office for the practice of law.~~

(c) **Notice to the courts.** The ~~executive director~~OPC ~~shall~~must promptly ~~cause~~transmit ~~of~~forward notices of suspension, ~~disbarment~~delicensure, resignation with discipline pending, transfer to or from disability status, reinstatement, ~~or readmission~~or relicensure to all Utah state courts for licensed paralegal practitioners and to both Utah state and federal courts ~~in Utah~~for lawyers.

Rule 14-51811-563. Interim ~~suspension~~ discipline for threat of harm.

Comment [LL35]: Recommendations 7.1 and 7.3

Comment [LL36]: Recommendation 7.3

(a) ~~Transmittal of evidence~~ **Petition for interim discipline.** ~~Upon receipt of~~ Upon receiving sufficient evidence ~~demonstrating~~ that a ~~lawyer~~ subject to the ~~disciplinary jurisdiction of the~~ Supreme Court's ~~disciplinary jurisdiction~~ poses a ~~substantial~~ threat of ~~irreparable~~ **serious** harm to the public and has either committed a violation of the Rules of Professional Conduct ~~or Licensed Paralegal Practitioner Rules of Professional Conduct~~ or is under a disability as herein defined, ~~the~~ OPC ~~counsel shall must~~ file a petition for interim ~~suspension discipline~~ in the district court, ~~requesting a hearing~~ and giving notice in accordance with Utah Rule of Civil Procedure 65A.

Comment [LL37]: Recommendation 7.3

(1) The petition for interim discipline must be filed with the district court and served on the Respondent in accordance with Rule 4 of the Utah Rules of Civil Procedure.

(2) The district court will set a hearing within 14 days of filing the return of service showing that Respondent has been served.

~~An action is commenced under this rule when the petition for interim suspension is filed.~~

(b) **Immediate interim ~~suspension~~ discipline.** After conducting a hearing on the petition, the district court may enter an order immediately suspending the respondent, ~~limiting the Respondent's practice area, or requiring supervision of the Respondent~~ pending final disposition of a disciplinary proceeding ~~predicated upon the conduct causing the harm~~, or may order such other action as deemed appropriate.

(1) If an order is entered:

~~(b)(1)(A)~~ the district court may appoint a trustee, ~~pursuant to under~~ Rule ~~14-52711-538~~, to protect the interests of the ~~R~~espondent's clients; and

~~(b)(2)(B)~~ the OPC may file ~~a formal complaint an Action in the district court~~ without presenting the matter to a screening panel.

(2) If an order for interim discipline is not obtained, the OPC must dismiss the interim Action and will process the matter as it does any other information coming to the OPC's attention.

(c) **Notice to clients.** A ~~Respondent~~ suspended subject to interim discipline pursuant to paragraph (b) ~~shall~~ must comply with the notice requirements in Rule ~~14-526~~ 11-570 as ordered by the district court.

(d) **Motion** ~~for dissolution of~~ to dissolve or modify interim ~~suspension~~ discipline. On ~~two 48 hours' days~~ notice to the OPC ~~counsel~~, a ~~Respondent~~ suspended pursuant to paragraph (b) may appear and move ~~for dissolution or modification of the~~ to dissolve or modify the order of ~~suspension~~ discipline, and ~~in that event, the such~~ motion ~~shall~~ will be heard and determined as expeditiously as ~~the ends of~~ justice requires.

1 **Rule ~~14-519~~11-564. Lawyers Finding of guilt or entry of a plea to convicted of a crime.**

2 (a) ~~Transmittal of~~ Duty to report judgment of any finding of guilt or plea to a
 3 crime conviction. After a finding of guilt or entry of a plea of guilty or no contest –
 4 including the entry of a plea in abeyance – for any crime, except for misdemeanor traffic
 5 offenses or traffic ordinance violations not involving the use of alcohol or drugs:

6 (1) The Lawyer must notify the OPC in writing of such a finding or plea within
 7 14 days after it is entered and include the following information:

8 (a) name, bar number, and current address;

9 (b) the court in which the finding or plea was entered; and

10 (c) the case number in which the finding or plea was entered.

11 (2) The court must forward documentation that the Lawyer has been found
 12 guilty of or has entered a plea to a crime to the OPC within 28 days after the
 13 finding or plea is entered. The court in which a lawyer is convicted of any felony
 14 or any misdemeanor which reflects adversely on the lawyer's honesty,
 15 trustworthiness, or fitness as a lawyer shall, within 30 days after the conviction,
 16 transmit a certified copy of the judgment of conviction to OPC counsel.

17 (b) **Motion for interim suspension.** On being advised that a ~~IL~~ Lawyer has been
 18 ~~convicted found guilty of~~ or has entered a plea of guilty or no contest for a felony or
 19 misdemeanor crime which that reflects adversely on the ~~IL~~ lawyer's honesty,
 20 trustworthiness, or fitness ~~as a lawyer to practice law, the~~ OPC ~~shall must~~ determine
 21 whether the crime warrants interim suspension. ~~Upon a determination~~ After
 22 determining that the crime warrants interim suspension, ~~the~~ OPC ~~shall must~~ file an
 23 ~~formal complaint~~ Action, accompanied by the certified copy of the judgment of
 24 conviction, and concurrently file a motion for immediate interim suspension. ~~An action~~
 25 ~~is commenced under this rule when both the petition for interim suspension and the~~
 26 ~~formal complaint are filed.~~ The ~~R~~ Respondent may assert any jurisdictional deficiency
 27 ~~which establishing establishes~~ that the interim suspension may not properly be ordered,

such as ~~that~~ the crime is not a felony or a misdemeanor that does not reflects adversely on the ~~R~~espondent's honesty, trustworthiness, or fitness as a lawyer to practice law, or that the ~~R~~espondent is not the individual who was found guilty of or had entered a plea of guilty or no contest convicted. The ~~R~~espondent is not entitled to an evidentiary hearing but may request an informal hearing, solely to determine whether the finding of guilt or plea was for a felony or misdemeanor that reflects adversely on the Respondent's honesty, trustworthiness, or fitness to practice law. If an order for interim suspension is not obtained, the OPC must dismiss the formal complaint ~~Action shall be dismissed and OPC counsel shall and will~~ process the matter as it does any other information coming to the OPC's attention ~~of the OPC~~.

Comment [LL39]: Recommendation 7.4

(c) **Imposition.** The district court ~~shall will~~ place a ~~R~~espondent on interim suspension upon proof that the ~~R~~espondent has been ~~convicted~~ found guilty of or has entered a plea of to a felony or misdemeanor crime which that reflects adversely on the ~~R~~espondent's honesty, trustworthiness, or fitness as a lawyer to practice law regardless of ~~any~~ the pendency of any appeal.

(d) ~~Dissolution of~~ Dissolving interim suspension. Interim suspension may be dissolved as provided in Rule ~~14-518(d)~~ 11-563.

(e) ~~Conviction~~ Documentation as conclusive evidence. Except as provided in paragraph (b), ~~a certified copy of a judgment of conviction documentation that the Respondent has been found guilty of or has entered a plea to a crime~~ constitutes conclusive evidence that the ~~R~~espondent committed the crime.

(f) **Automatic reinstatement from interim suspension** ~~upon reversal of conviction~~. If a ~~R~~espondent suspended solely under ~~the provisions of~~ paragraph (c) demonstrates that the underlying ~~conviction~~ finding of guilt or plea has been reversed or vacated, the order for interim suspension ~~shall will~~ be vacated and the ~~R~~espondent placed on active status. ~~The vacating of~~ Vacating the interim suspension ~~shall will~~ not automatically terminate any disciplinary proceeding then pending against the ~~R~~espondent, the

1 disposition of which ~~shall will~~ be determined based on ~~the basis of~~ the available
2 evidence other than ~~conviction~~ the reversed or vacated finding of guilt or plea.

3 (g) **Notice to clients and other of interim suspension.** An interim suspension under
4 this rule ~~shall~~ constitutes a suspension of the ~~R~~Respondent for the purpose of Rule ~~14-~~
5 52611-570.

Rule ~~14-520~~11-565. Discipline by consent.

(a) **Discipline by consent ~~prior to before the matter is submitted to a screening panel~~filing of formal complaint.** A ~~an~~ Respondent against whom an ~~informal~~ Complaint has been filed may, ~~prior to the filing of a formal complaint~~before the matter is submitted to a screening panel, tender a proposal for discipline by consent, including a conditional admission to the ~~informal~~ Complaint or portions thereof in exchange for a disciplinary sanction and final disposition of the ~~informal~~ Complaint. The proposal ~~shall~~must include a waiver of right to a screening panel hearing. The ~~Respondent~~ must submit the proposal ~~shall~~ to the OPC, who ~~shall~~will forward the proposal to the Committee chair with a recommendation in favor of or opposed to the proposal and a statement of the basis for such recommendation. If the Committee chair ~~approves the~~ proposal ~~is approved by the Committee chair~~, the sanction ~~shall~~will be imposed as provided in this rule. If the proposal is rejected by the Committee chair, the proposal and admission ~~shall~~will be withdrawn and cannot be used against the ~~Respondent~~ in subsequent proceedings.

(b) **Discipline by consent after filing of formal complaint an Action.** A ~~Respondent~~ against whom an ~~Action-formal complaint~~ an Action has been filed may tender a conditional admission to the ~~allegations in the OPC's~~ formal complaint or to a particular count thereof in exchange for a stated form of discipline and final disposition of the ~~formal~~ complaint Action. The proposal ~~shall~~must be submitted to ~~the~~ OPC-counsel, who ~~shall~~will then forward the proposal to the district court with a recommendation favoring or opposing the proposal and a statement of the basis for such recommendation. The district court ~~shall~~will either approve or reject the proposal. If the district court approves the proposal and the stated form of discipline includes public discipline, it ~~shall~~will enter the appropriate disciplinary order as provided in paragraph

(d). If the district court rejects the proposal, the proposal and conditional admission ~~shall~~will be withdrawn and cannot be used against the ~~Respondent~~ in subsequent proceedings.

(c) **Order of discipline by consent.** The final order of discipline by consent ~~shall~~will be predicated ~~upon~~:

- (1) the ~~informal~~eComplaint and ~~any NOIC Notice~~ if no ~~formal complaint~~Action has been filed;
- (2) the ~~formal complaint~~Action, if filed;
- (3) the approved proposal for discipline by consent; and
- (4) an affidavit of consent by the ~~R~~Respondent to be disciplined.

(d) **Affidavit of consent.** A ~~R~~Respondent whose proposal for discipline by consent has been approved ~~as provided in this rule~~, ~~shall~~must submit an affidavit to the Committee chair or the district court as appropriate, consenting to ~~the imposition of~~ the approved disciplinary sanction and affirming that:

- (1) the consent is freely and voluntarily entered;
- (2) the ~~R~~Respondent is not acting under coercion or duress;
- (3) the ~~R~~Respondent is fully aware of the implications of submitting the consent;
- (4) the ~~R~~Respondent is aware that there is presently pending an investigation into, or proceeding involving, allegations that there exist grounds for discipline, the nature of which ~~shall~~must be specifically set forth;
- (5) for purposes of disciplinary proceedings, the ~~R~~Respondent acknowledges that the material facts so alleged are true; and
- (6) the ~~R~~Respondent submits consent because the ~~R~~Respondent knows that if ~~an informal or formal complaint~~the Complaint or Action were predicated ~~upon~~ the ~~matters~~allegations under investigation were filed, or the pending ~~Action~~formal charges were prosecuted, the ~~R~~Respondent could not successfully defend against the charges upon which the discipline is based.

Rule ~~14-524~~11-566. Resignation with discipline pending.

(a) A ~~Respondent~~ may resign by ~~resign from the Bar~~ voluntarily relinquishing the Respondent's license, prior to before the adjudication of a pending ~~e~~Complaint is adjudicated, only with the Supreme Court's consent ~~of the Supreme Court~~ and upon such terms as the Supreme Court may impose for the public's protection ~~of the public~~.

(b) The ~~Respondent~~ shall must submit a sworn petition:

(1) admitting for purposes of the disciplinary proceedings the facts upon which the allegations of misconduct are based;

(2) admitting that the facts constitute grounds for discipline;

(3) stating that the ~~Respondent's~~ resignation is freely and voluntarily tendered and that it is submitted without coercion or duress;

(4) verifying that the ~~Respondent~~ is fully aware of the implications of submitting the resignation;

(5) acknowledging that the discipline matter, the petition, and the sanction ~~shall will~~ be available to the public and that a notice of the resignation ~~shall will~~ be published in the Utah Bar Journal;

(6) agreeing to comply with these rules, including Rule ~~14-526(b)~~11-570 regarding notice to clients and return of clients' property; and

(7) agreeing to comply with other Supreme Court orders ~~of the Supreme Court~~.

(c) A copy of the petition shall must be submitted to the OPC ~~counsel~~. The OPC ~~counsel~~ may, within ~~20~~1 days, object to the petition. If the OPC ~~counsel~~ consents to the petition, the Supreme Court shall will review the petition and enter an appropriate order. If the OPC ~~counsel~~ files a timely objection, the matter shall will be set for hearing in the district court. Within ~~ten~~14 days after the hearing, the district court will transmit its's findings of fact and conclusions of law ~~shall be transmitted~~ to the Supreme Court ~~for to~~ review and ~~the entry of~~enter an appropriate order.

(d) If the Supreme Court accepts the resignation, it ~~will~~shall enter an order specifying the effective date of the resignation. The order may include additional or alternative terms and conditions deemed appropriate, including conditions precedent to ~~readmission~~relicensure.

(e) A ~~*R~~Respondent whose resignation is accepted must comply with Rule ~~14-525~~11-591 and may not apply for ~~readmission~~relicensure until five years after the effective date of the resignation unless the Supreme Court orders otherwise in ~~the~~its order accepting the resignation.

Rule ~~14-522~~11-567. Reciprocal discipline.

(a) **Duty to notify** ~~the~~ OPC of discipline or transfer to disability inactive status. ~~When another court, jurisdiction, or regulatory body having disciplinary jurisdiction publicly disciplines or transfers to disability inactive status a Lawyer licensed to practice in Utah, Upon being publicly disciplined by another court, another jurisdiction, or a regulatory body having disciplinary jurisdiction, a lawyer admitted to practice in Utah shall such Lawyer~~ must inform the OPC of the discipline or transfer within ~~30~~28 days. ~~If the OPC receives notification~~ inform the OPC of the discipline. Upon notification from any source that a ~~L~~lawyer within the Supreme Court's jurisdiction ~~of the Supreme Court~~ has been publicly disciplined or transferred to disability inactive status by ~~another court, another jurisdiction, or a regulatory body having disciplinary jurisdiction~~ any other jurisdiction, the OPC ~~shall~~ must obtain a certified copy of the disciplinary order.

Comment [LL40]: Recommendation 4.7

(b) ~~Notice served upon~~ Serving notice on ~~L~~lawyer. ~~Upon receipt of~~ On receiving a certified copy of an order demonstrating that a ~~L~~lawyer ~~admitted-licensed~~ to practice in Utah has been publicly disciplined or transferred to disability inactive status by another court, ~~another~~ jurisdiction, or ~~a~~ regulatory body having disciplinary jurisdiction, the OPC ~~shall~~ will issue a notice directed to the ~~L~~lawyer containing:

- (1) a copy of the order from the other court, jurisdiction, or regulatory body; and
- (2) a notice giving the ~~L~~lawyer the right to inform the OPC, within ~~30~~28 days from service of the notice, of any claim by the ~~L~~lawyer predicated ~~upon~~ the grounds set forth in paragraph (d), that ~~the imposition of the~~ imposing equivalent discipline or transfer in Utah would be ~~unwarranted, and~~ unwarranted and stating the reasons for that claim.

(c) **Effect of stay of discipline in** an other jurisdiction. If the discipline or transfer imposed in the other court, jurisdiction, or regulatory body has been stayed, any reciprocal discipline or transfer imposed in Utah ~~shall~~ will be deferred until the stay expires.

(d) Discipline to be imposed.

~~(1) Upon the expiration of~~ After 3028 days from service of the notice pursuant to ~~under~~ paragraph (b), the district court ~~shall~~ will take such action as may be appropriate to cause the ~~equivalent~~ discipline or transfer to be imposed in this jurisdiction, unless it clearly appears upon the face of the record from which the discipline or transfer is predicated that:

(1A) the procedure was so lacking in notice or opportunity to be heard as to constitute a deprivation of due process;

(2B) ~~imposing the imposition of equivalent~~ discipline would result in grave injustice; ~~or~~

(3C) the misconduct ~~established~~ warrants substantially different discipline in Utah or is not misconduct in this jurisdiction; or

(D) the reason for the original transfer to disability inactive status no longer exists.

(2) If the district court determines that any of these elements exist, it ~~shall~~ will enter such other order as it deems appropriate. The burden is on the ~~respondent~~ Lawyer seeking different discipline or transfer to demonstrate that ~~the imposition of equivalent~~ imposing discipline or transfer is not appropriate.

(e) ~~Conclusiveness of adjudication in o~~ Other jurisdictions' final adjudications.

Except as provided in paragraphs (c) and (d) above, a Respondent who has been found guilty of misconduct or is transferred to disability inactive status in a final adjudication of ~~the~~ another court, jurisdiction, or regulatory body ~~that a respondent has been guilty of misconduct or should be transferred to disability inactive status shall~~ will establish conclusively the misconduct or the disability for purposes of a disciplinary or disability proceeding in Utah.

Rule ~~14-523~~11-568. Proceedings in which Lawyer is declared to be incompetent or alleged to be incapacitated.

(a) **Involuntary commitment or adjudication of incompetency.** If a Lawyer has been judicially declared incompetent or is involuntarily committed on the grounds of incompetency, ~~then OPC counsel,~~ upon proper proof of the fact, ~~the shall~~OPC must file a petition with the district court for the immediate transfer of the Lawyer to disability status for an indefinite period until further order of the district court. The OPC must serve a copy of the order ~~shall be served by OPC counsel upon~~ the Lawyer or the Lawyer's guardian or, if no guardian or legal representative has been appointed, ~~upon~~ the director of the institution to which the Lawyer has been committed.

(b) **Inability to properly defend.** If a Lawyer alleges in the course of a disciplinary proceeding an inability to assist in the defense due to mental or physical incapacity, the district court ~~shall will~~ immediately transfer the Lawyer to disability status pending determination of the incapacity.

(1) If the district court determines the claim of inability to defend is valid, the disciplinary proceeding ~~shall will~~ be deferred and the Lawyer retained on disability status until the district court subsequently considers a petition for transfer of the Lawyer to active status. If the district court considering the petition for transfer to active status determines the petition should be granted, the interrupted disciplinary proceedings may resume.

(2) If the district court determines the claim of incapacity to defend to be invalid, the disciplinary proceeding ~~shall will~~ resume.

(c) **Proceedings to determine incapacity.** Information relating to a Lawyer's physical or mental condition ~~which that~~ adversely affects the Lawyer's ability to practice law ~~shall will~~ be investigated, and if warranted, ~~shall will~~ be the subject of formal proceedings to determine whether the Lawyer ~~must shall~~ be transferred to disability status. Hearings ~~shall will~~ be conducted in the same manner as disciplinary proceedings, except that all of the proceedings ~~shall will~~ be confidential. The district court ~~shall will~~

provide ~~the Lawyer with~~ such notice ~~to the lawyer~~ of proceedings in the matter as it deems proper and advisable and may appoint counsel to represent the Lawyer if the Lawyer is without adequate representation. The district court may take or direct whatever action it deems necessary or proper to determine whether the Lawyer is so incapacitated, including ~~designating qualified experts to the examination of the~~ Lawyer ~~by qualified experts designated by the district court. If, upon due consideration of the matter,~~ the district court concludes that the Lawyer is incapacitated from continuing to practice law, it ~~shall~~ will enter an order transferring the Lawyer to disability status for an indefinite period and until the further order ~~of the district court.~~ Any pending disciplinary proceedings against the Lawyer ~~shall~~ will be held in abeyance.

(d) **Reinstatement from disability status.**

(1) **Court order.** No Lawyer transferred to disability status may resume active status except by district court order ~~of the district court.~~

(2) **Petition.** Any Lawyer transferred to disability status ~~is~~ shall be entitled to petition for transfer to active status once a year, or at whatever shorter intervals the district court may direct in the order transferring the Lawyer to disability status or any modifications thereof.

(3) **Examination.** ~~Upon the filing of~~ Upon filing a petition for transfer to active status, the district court may take or direct whatever action it deems necessary or proper to determine whether the disability has been removed, including ~~directing designated qualified experts to a direction for an examination of the~~ Lawyer ~~by qualified experts designated by the district court.~~ In its discretion, the district court may direct the Lawyer to pay the examination expense ~~that the expense of the examination be paid by the lawyer.~~

(4) **Waiver of privilege.** ~~When~~ with the filing of a petition for reinstatement to active status, the Lawyer ~~shall~~ will be required to disclose the name of each

1 psychiatrist, psychologist, physician, or other health care provider and hospital
2 or other institution by whom or in which the Lawyer has been examined or
3 treated related to the disability since the transfer to disability status. The Lawyer
4 ~~shall~~must furnish written consent to each listed provider to divulge information
5 and records relating to the disability if requested by the district court or the
6 district court's appointed experts.

7 (5) **Learning in law; Bar ~~E~~examination.** The district court may also direct that the
8 Lawyer establish proof of competence and learning in law, which proof may
9 include the Bar's certification ~~by the Bar of that the Lawyer has~~ successfully
10 ~~completed of~~ an examination for ~~admission to practice~~relicensure.

11 (6) **Granting petition for transfer to active status.** The district court ~~shall~~will
12 grant the petition for transfer to active status ~~up~~on a showing by clear and
13 convincing evidence that the disability has been removed.

14 (7) **Judicial declaration of competence.** If a Lawyer transferred to disability
15 status on the basis of a judicial determination of incompetence is subsequently
16 judicially declared to be competent, the district court may dispense with further
17 evidence that the Lawyer's disability has been removed and may immediately
18 order the Lawyer's reinstatement to active status upon terms as are deemed
19 proper and advisable.
20

1 **Rule ~~14-531~~11-569. Noncompliance with child support order, child visitation order,**
2 **subpoena or order relating to paternity, or child support proceeding.**

3 (a) Upon ~~entry of~~entering an order holding a Lawyer in contempt for the Lawyer's
4 noncompliance with a child support order, child visitation order, or a subpoena or
5 order relating to a paternity or child support proceeding, a district court may suspend
6 the Lawyer's license to engage in the practice of law consistent with applicable law
7 and, if suspended, ~~shall~~will also impose conditions of reinstatement.

8 (b) If a district court suspends a Lawyer's license to engage in the practice of law, the
9 court ~~shall~~will provide a copy of the order to the OPC.

Rule ~~14-526~~11-570. Notice of disability or suspension; return of clients' property; refund of unearned fees.

(a) **Effective date of order; winding up affairs.** Each order that imposes ~~disbarment~~ delicensure or suspension is effective ~~30~~28 days after the order's ~~date of the order~~, or at such ~~other~~ time as the order provides. Each order that transfers a #Respondent to disability status is effective immediately ~~upon the date of the order~~, unless the order otherwise provides. After the court ~~entry of~~ any order of ~~disbarment~~delicensure, suspension, or transfer to disability status, the #Respondent ~~shall~~may not accept any new retainer or employment as a Lawyer in any new case or legal matter; ~~provided,~~ ~~however~~except, that during any period between the date ~~an order is entered~~of entry of an order and its effective date, the #Respondent may, with the consent of the client after full disclosure, wind up or complete any matters pending on the date the order is entered~~of entry of the order~~.

(b) **Notice to clients and others.** In every case in which a #Respondent is ~~disbarred~~ delicensed or suspended for more than six months, the #Respondent ~~shall~~must, within ~~20~~1 days ~~after the order is entered~~of the entry of the order, accomplish the following acts:

(1) notify each client and any co-counsel in every pending legal matter, litigation, and non-litigation, that the #Respondent has been ~~disbarred~~delicensed or suspended from the practice of law and is disqualified from further participation in the matter;

(2) notify each client that, in the absence of co-counsel, the client should obtain a new Lawyer, calling attention to the urgency to seek new counsel, particularly in pending litigation;

(3) deliver to every client any papers or other property to which the client is entitled or, if delivery cannot reasonably be made, make arrangements satisfactory to the client or co-counsel of a reasonable time and place where

papers and other property may be obtained, calling attention to any urgency to obtain the same;

(4) refund any part of any fee paid in advance that has not been earned as of the order's effective date ~~of the discipline~~;

(5) in each matter pending before a court, agency, or tribunal, notify opposing counsel or, in the absence of counsel, the adverse party, of the ~~Respondent's~~ disbarment delicensure or suspension and consequent disqualification to further participate as a lawyer in the matter;

(6) file with the court, agency, or tribunal before which any matter is pending a copy of the notice given to opposing counsel or to an adverse party; and

(7) within ~~ten-14~~ days after the effective date of disbarment delicensure or suspension, file a declaration under penalty of perjury n affidavit with the OPC ~~counsel~~ showing complete performance of the foregoing requirements ~~of this rule~~. The ~~Respondent~~ shall must keep and maintain for the OPC's inspection ~~by OPC counsel~~ all records of the steps taken to accomplish the requirements of this rule.

(c) **Lien.** Any attorney's lien for services rendered ~~which that~~ are not tainted by reason of disbarment delicensure or suspension shall may not be rendered invalid merely because of the order of discipline.

(d) **Other notice.** If a ~~Respondent~~ is suspended for six months or less, the district court may impose conditions similar to those set out in paragraph (b). In any public disciplinary matter, the district court may also require the Respondent to ~~issuance of~~ notice to others as it deems necessary to protect the interests of clients or the public.

(e) **Compliance.** Substantial compliance with the provisions of paragraphs (a), (b) and

(d) ~~shall will~~ be a precondition for reinstatement or readmission relicensure. Willful failure to comply with paragraphs (a), (b) and (d) ~~shall~~ constitute contempt of court and may be punished as such or by further disciplinary action.

Sanctions.

~~Rule 14-601 Article 6. Standards for Imposing Lawyer Sanctions~~

~~Rule 14-601. Definitions:~~

~~As used in this article:~~

~~(a) “complainant” means the person who files an informal complaint or the OPC when the OPC determines to open an investigation based on information it has received;~~

~~(b) “formal complaint” means a complaint filed in the district court alleging misconduct by a lawyer or seeking the transfer of a lawyer to disability status;~~

~~(c) “informal complaint” means any written, notarized allegation of misconduct by or incapacity of a lawyer;~~

~~(d) “injury” means harm to a client, the public, the legal system, or the profession which results from a lawyer’s misconduct. The level of injury can range from “serious” injury to “little or no” injury; a reference to “injury” alone indicates any level of injury greater than “little or no” injury;~~

~~(e) “intent” means the conscious objective or purpose to accomplish a particular result;~~

~~(f) “knowledge” means the conscious awareness of the nature or attendant circumstances of the conduct but without the conscious objective or purpose to accomplish a particular result;~~

~~(g) “negligence” means the failure of a lawyer to heed a substantial risk that circumstances exist or that a result will follow, which failure is a deviation from the standard of care that a reasonable lawyer would exercise in the situation;~~

~~(h) “potential injury” means the harm to a client, the public, the legal system or the profession that is reasonably foreseeable at the time of the lawyer’s misconduct, and which, but for some intervening factor or event, would probably have resulted from the lawyer’s misconduct;~~

1 ~~(i) “respondent” means a lawyer subject to the disciplinary jurisdiction of the Supreme~~
2 ~~Court against whom an informal or formal complaint has been filed; and~~
3 ~~(j) “Rules of Professional Conduct” means the Utah Rules of Professional Conduct~~
4 ~~(including the accompanying comments) initially adopted by the Supreme Court in~~
5 ~~1988, as amended from time to time.~~

Rule ~~14-602~~11-580. Purpose and nature of sanctions.

~~(a) Summary. This article is based on the Black Letter Rules contained in the Standards for Imposing Lawyer Sanctions prepared by the American Bar Association's Center for Professional Responsibility. They have been substantially revised by the Supreme Court. Notably, ABA Standards 4 through 8 have been reduced into a single Rule 14-605.~~

~~(b)~~ **Purpose of sanctions ~~lawyer discipline proceedings~~.** The purpose of imposing Lawyer sanctions is to ensure and maintain the high standard of professional conduct required of those who undertake the discharge of professional responsibilities as Lawyers, and to protect the public and the administration of justice from Lawyers who have demonstrated by their conduct that they are unable or likely to be unable to discharge properly their professional responsibilities.

~~(c)~~ **Public nature of sanctions ~~lawyer discipline proceedings~~.** ~~The U~~ultimate disposition of Lawyer discipline ~~shall~~will be public in cases of ~~disbarment~~delicensure, suspension, and reprimand; ~~and~~ and nonpublic in cases of admonition.

~~(d)~~ **Purpose of these sanctions rules.** These rules are designed for use in imposing a sanction or sanctions following a determination that a member of the legal profession has violated a provision of the Rules of Professional Conduct or Licensed Paralegal Practitioner Rules of Professional Conduct. Descriptions in these rules of substantive disciplinary offenses are not intended to create grounds for determining culpability independent of the Rules of Professional Conduct or Licensed Paralegal Practitioner Rules of Professional Conduct. The rules constitute a system for determining sanctions, permitting flexibility and creativity in assigning sanctions in particular cases of Lawyer misconduct. ~~The~~ rules are designed to promote:

- (1) consideration of all factors relevant to imposing the appropriate level of sanction in an individual case;

- (2) consideration of the appropriate weight of such factors in light of the stated goals of Lawyer discipline; and
- (3) consistency in the imposition of disciplinary sanctions for the same or similar offenses within and among jurisdictions.

Rule ~~14-603~~11-581. Sanctions.

(a) **Scope.** A disciplinary sanction is imposed on a Lawyer upon the Committee's or the court's finding ~~or acknowledgement~~ that the Lawyer has engaged in professional misconduct.

(b) ~~Disbarment~~**Delicensure.** ~~Disbarment~~**Delicensure** terminates the individual's status as a Lawyer. A Lawyer who has been ~~disbarred~~ delicensed may be ~~readmitted~~ relicensed as provided in Rule 14-525.

(c) **Suspension.** Suspension ~~is the removal of~~ removes a Lawyer from the practice of law for a specified minimum ~~period of time, generally six months or more. Generally,~~ suspension should be imposed for a specific period of time equal to or greater than six months, but in no event should the time ~~period prior to~~ before application for reinstatement be more than three years.

~~(c)(1) A lawyer who has been suspended for six months or less may be reinstated as set forth in Rule 14-524.~~

~~(c)(2) A lawyer who has been suspended for more than six months may be reinstated as set forth in Rule 14-525.~~

(d) **Interim suspension or interim discipline.** Interim suspension ~~is the temporarily~~ suspension of a Lawyer from the practice of law. Interim suspension or interim discipline may be imposed as set forth in Rules ~~14-518~~ 11-563 and ~~14-519~~ 11-564.

(e) **Reprimand.** Reprimand is public discipline ~~which that~~ declares the Lawyer's conduct ~~of the lawyer~~ improper, but does not limit the Lawyer's right to practice law.

(f) **Admonition.** Admonition is nonpublic discipline ~~that which~~ declares the conduct of the Lawyer improper, but does not limit the Lawyer's right to practice law.

(g) **Probation.** Probation ~~is a sanction that~~ allows a Lawyer to practice law under specified conditions. Probation ~~can may~~ be public or nonpublic, ~~can be~~ imposed alone

Comment [LL41]: Recommendation 7.2

or in conjunction with other sanctions, and ~~can be~~ imposed as a condition of
~~readmission or reinstatement~~ or relicensure.

(1) **Requirements. To be placed on probation, a Respondent must demonstrate that the Respondent:**

(A) can perform legal services and the continued practice of law will not cause the courts or the profession to fall into disrepute;

(B) is unlikely to harm the public during the period of rehabilitation and the necessary conditions of probation can be adequately supervised;

(C) has a disability which is temporary or minor and does not require treatment and transfer to disability status;

(D) has not committed acts involving dishonesty, fraud, deceit, or misrepresentation; and

(E) has not committed acts warranting ~~delicensure~~.

(2) **Conditions. Probation may include the following conditions:**

(A) no further violations of the Rules of Professional Conduct or Licensed Paralegal Practitioner Rules of Professional Conduct;

(B) restitution;

(C) assessment of costs;

(D) limitation on practice;

(E) requirement that the Lawyer pass the Multistate Professional Responsibility Exam;

(F) requirement that the Lawyer take continuing legal education courses;

(G) mental health counseling and treatment;

(H) abstinence from drugs and alcohol;

(I) medical evaluation and treatment;

(J) periodic reports to the court and the OPC; and

(K) monitoring of all or part of Respondent's work by a supervising attorney.

(3) **Costs.** The Respondent is responsible for all costs of evaluation, treatment, and supervision. Failing to pay these costs before probation terminates is a violation of probation.

(4) **Terminating probation.** A Respondent may terminate probation by filing with the district court and serving on the OPC an affidavit stating that the Respondent has fully complied with the requirements of the probation order. The OPC may file an objection and thereafter the court will conduct a hearing.

(5) **Violations.** If during the period of probation, the OPC receives information that any probation term has been violated, the OPC may file a motion specifying the alleged violation and seeking to have the probation terminated. Upon filing such motion, the Respondent must have the opportunity to respond and a hearing will be held, at which time the court will determine whether to revoke probation.

(h) **Diversion.** Diversion is an alternative to a sanction if completed. Diversion allows a Lawyer to practice law under specified conditions. Diversion may be public or non-public.

Comment [LL42]: Recommendation 6.1.

(1) Rule 11-550 governs diversion matters before the matter is submitted to a screening panel.

(2) For an Action, the following criteria will determine the appropriateness of a diversion:

(A) The misconduct does not involve the misappropriation of funds or property; fraud, dishonesty, deceit or misrepresentation; or the commission of a misdemeanor adversely reflecting on the Lawyer's fitness to practice law or any felony;

(B) The misconduct appears to be the result of inadequate law office management, chemical dependency, a physical or mental health condition, negligence or lack of training, education or other similar circumstance; and

(C) There appears to be a reasonable likelihood that the successful completion of a remedial program will prevent the recurrence of conduct by the attorney similar to that under consideration for diversion.

(3) In addition to the above-required criteria of (A), (B) and (C), other considerations may include whether the misconduct is a one-time act or based on a physical or mental condition beyond the Respondent's control and whether there is sufficient evidence connecting the condition to the misconduct.

(4) Diversion determinations must include compliance conditions to address the misconduct and the time for completion.

(5) If the Lawyer completes the diversion conditions, the Action will be dismissed with prejudice.

(6) If the Lawyer does not complete the diversion conditions within the required time, the Lawyer will be subject to a suspension of six months and a day.

(h) **Resignation with discipline pending.** Resignation with discipline pending is a form of public discipline which that allows a Respondent to resign from the practice of law while either an informal or formal Complaint or Action is pending against the Respondent. Resignation with discipline pending may be imposed as set forth in Rule 14-5211-566.

(i) **Other sanctions and remedies.** Other sanctions and remedies which may be imposed that a court may impose include:

(1) restitution;

(2) assessment of costs;

(3) limitation upon practice;

(4) appointment of a receiver;

(5) a requirement that the Lawyer take the Bar Examination or professional responsibility examination; and

(6) a requirement that the Lawyer attend continuing education courses.

(k) **Reciprocal discipline.** Reciprocal discipline ~~is the imposition of~~ imposing a disciplinary sanction on a Lawyer who has been disciplined in another court, another jurisdiction, or a regulatory body having disciplinary jurisdiction.

Rule ~~14-604~~11-582. Factors to be considered in imposing sanctions.

(a) The Committee and the court must consider the following factors in imposing sanctions after a finding of Lawyer misconduct.
~~The following factors should be considered in imposing a sanction after a finding of lawyer misconduct:~~

(1) the presumptive sanction based on:

(A) the duty violated;

(B) the Lawyer's mental state;

(C) the potential or actual injury caused by the Lawyer's misconduct;

and

(2) the existence of aggravating or mitigating factors.

(b) Multiple charges of misconduct.

(1) Where a Respondent is found to have committed multiple charges of misconduct, the ultimate sanction imposed must at least be consistent with the sanction for the most serious instance of misconduct among the violations, and may be greater than the sanction for the most serious misconduct.

(2) Either a pattern of misconduct or multiple instances of misconduct should be considered as aggravating factors.

Rule ~~14-605~~11-583. Imposition of sanctions. Sanctions for violating duties owed to clients.

(a) Failing to preserve the client's property. The following sanctions are generally appropriate when a Lawyer fails to preserve client property:

(1) Delicensure is generally appropriate when a Lawyer knowingly converts client property and causes injury or potential injury to a client.

(2) Suspension is generally appropriate when a Lawyer knows or should know that the Lawyer is dealing improperly with client property and causes injury or potential injury to a client.

(3) Reprimand is generally appropriate when a Lawyer is negligent in dealing with client property and causes injury or potential injury to a client.

(4) Admonition is generally appropriate when a Lawyer is negligent in dealing with client property and causes little or no actual or potential injury to a client.

(b) Failing to preserve the client's confidences. The following sanctions are generally appropriate when a Lawyer improperly reveals information related to representing a client:

(1) Delicensure is generally appropriate when a Lawyer, with the intent to benefit the Lawyer or another, knowingly reveals information relating to representation of a client not otherwise lawfully permitted to be disclosed, and this disclosure causes injury or potential injury to a client.

(2) Suspension is generally appropriate when a Lawyer knowingly reveals information relating to the representation of a client not otherwise lawfully permitted to be disclosed, and this disclosure causes injury or potential injury to a client.

(3) Reprimand is generally appropriate when a Lawyer negligently reveals information relating to representation of a client not otherwise lawfully

permitted to be disclosed and this disclosure causes injury or potential injury to a client.

(4) Admonition is generally appropriate when a Lawyer negligently reveals information relating to representation of a client not otherwise lawfully permitted to be disclosed and this disclosure causes little or no actual or potential injury to a client.

(c) Failing to avoid conflicts of interest. The following sanctions are generally appropriate in cases involving conflicts of interest:

(1) Delicensure is generally appropriate when a Lawyer, without the informed consent of client(s):

(A) engages in representation of a client knowing that the Lawyer's interests are adverse to the client's with the intent to benefit the Lawyer or another, and causes serious or potentially serious injury to the client;

(B) simultaneously represents clients that the Lawyer knows have adverse interests with the intent to benefit the Lawyer or another, and causes serious or potentially serious injury to a client; or

(C) represents a client in a matter substantially related to a matter in which the interests of a present or former client are materially adverse, and knowingly uses information relating to the representation of a client with the intent to benefit the Lawyer or another, and causes serious or potentially serious injury to a client.

(2) Suspension is generally appropriate when a Lawyer knows of a conflict of interest and does not fully disclose to a client the possible effect of that conflict, and causes injury or potential injury to a client.

(3) Reprimand is generally appropriate when a Lawyer is negligent in determining whether the representation of a client may be materially affected by

1 the Lawyer's own interests, or whether the representation will adversely affect
2 another client, and causes injury or potential injury to a client.

3 (4) Admonition is generally appropriate when a Lawyer engages in an isolated
4 instance of negligence in determining whether the representation of a client may
5 be materially affected by the Lawyer's own interests, or whether the
6 representation will adversely affect another client, and causes little or no actual
7 or potential injury to a client.

8 (d) **Lack of diligence.** The following sanctions are generally appropriate when a
9 Lawyer fails to act with reasonable diligence and promptness in representing a client:

10 (1) Delicensure is generally appropriate when:

11 (A) a Lawyer abandons the practice and causes serious or potentially
12 serious injury to a client;

13 (B) a Lawyer knowingly fails to perform services for a client and causes
14 serious or potentially serious injury to a client; or

15 (C) a Lawyer engages in a pattern of neglect with respect to client matters
16 and causes serious or potentially serious injury to a client.

17 (2) Suspension is generally appropriate when:

18 (A) a Lawyer knowingly fails to perform services for a client and causes
19 injury or potential injury to a client, or

20 (B) a Lawyer engages in a pattern of neglect and causes injury or potential
21 injury to a client.

22 (3) Reprimand is generally appropriate when a Lawyer is negligent and does not
23 act with reasonable diligence in representing a client, and causes injury or
24 potential injury to a client.

(4) Admonition is generally appropriate when a Lawyer is negligent and does not act with reasonable diligence in representing a client, and causes little or no actual or potential injury to a client.

(e) **Lack of competence.** The following sanctions are generally appropriate when a Lawyer fails to provide competent representation to a client:

(1) Delicensure is generally appropriate when a Lawyer's course of conduct demonstrates that the Lawyer does not understand the most fundamental legal doctrines or procedures, and the Lawyer's conduct causes injury or potential injury to a client.

(2) Suspension is generally appropriate when a Lawyer engages in an area of practice in which the Lawyer knows the Lawyer is not competent, and causes injury or potential injury to a client.

(3) Reprimand is generally appropriate when a Lawyer:

(A) demonstrates failure to understand relevant legal doctrines or procedures and causes injury or potential injury to a client, or

(B) is negligent in determining whether the Lawyer is competent to handle a legal matter and causes injury or potential injury to a client.

(4) Admonition is generally appropriate when a Lawyer engages in an isolated instance of negligence in determining whether the Lawyer is competent to handle a legal matter, and causes little or no actual or potential injury to a client.

(f) **Lack of candor.** The following sanctions are generally appropriate in cases where a Lawyer engages in fraud, deceit, or misrepresentation directed toward a client:

(1) Delicensure is generally appropriate when a Lawyer knowingly deceives a client with the intent to benefit the Lawyer or another, and causes serious or potentially serious injury to a client.

(2) Suspension is generally appropriate when a Lawyer knowingly deceives a client, and causes injury or potential injury to the client.

(3) Reprimand is generally appropriate when a Lawyer negligently fails to provide a client with accurate or complete information, and causes injury or potential injury to the client.

(4) Admonition is generally appropriate when a Lawyer engages in an isolated instance of negligence in failing to provide a client with accurate or complete information, and causes little or no actual or potential injury to the client.

~~Absent aggravating or mitigating circumstances, upon application of the factors set out in Rule 14-604, the following sanctions are generally appropriate:~~

~~(a) **Disbarment.** Disbarment is generally appropriate when a lawyer:~~

~~(a)(1) knowingly engages in professional misconduct as defined in Rule 8.4(a), (d), (e), or (f) of the Rules of Professional Conduct with the intent to benefit the lawyer or another or to deceive the court, and causes serious or potentially serious injury to a party, the public, or the legal system, or causes serious or potentially serious interference with a legal proceeding; or~~

~~(a)(2) engages in serious criminal conduct, a necessary element of which includes intentional interference with the administration of justice, false swearing, misrepresentation, fraud, extortion, misappropriation, or theft; or the sale, distribution, or importation of controlled substances; or the intentional killing of another; or an attempt or conspiracy or solicitation of another to commit any of these offenses; or~~

~~(a)(3) engages in any other intentional misconduct involving dishonesty, fraud, deceit, or misrepresentation that seriously adversely reflects on the lawyer's fitness to practice law.~~

~~(b) **Suspension.** Suspension is generally appropriate when a lawyer:~~

~~(b)(1) knowingly engages in professional misconduct as defined in Rule 8.4(a),
(d), (e), or (f) of the Rules of Professional Conduct and causes injury or potential
injury to a party, the public, or the legal system, or causes interference or
potential interference with a legal proceeding; or~~

~~(b)(2) engages in criminal conduct that does not contain the elements listed in
Rule 14-605(a)(2) but nevertheless seriously adversely reflects on the lawyer's
fitness to practice law.~~

~~(c) **Reprimand.** Reprimand is generally appropriate when a lawyer:~~

~~(c)(1) negligently engages in professional misconduct as defined in Rule 8.4(a),
(d), (e), or (f) of the Rules of Professional Conduct and causes injury to a party,
the public, or the legal system, or causes interference with a legal proceeding; or~~

~~(c)(2) engages in any other misconduct that involves dishonesty, fraud, deceit, or
misrepresentation and that adversely reflects on the lawyer's fitness to practice
law.~~

~~(d) **Admonition.** Admonition is generally appropriate when a lawyer:~~

~~(d)(1) negligently engages in professional misconduct as defined in Rule 8.4(a),
(d), (e), or (f) of the Rules of Professional Conduct and causes little or no injury to
a party, the public, or the legal system or interference with a legal proceeding,
but exposes a party, the public, or the legal system to potential injury or causes
potential interference with a legal proceeding; or~~

~~(d)(2) engages in any professional misconduct not otherwise identified in this
rule that adversely reflects on the lawyer's fitness to practice law.~~

Rule 11-584. Sanctions for violating duties owed to the public.

(a) Failing to maintain personal integrity. The following sanctions are generally appropriate when a Lawyer commits a criminal act that reflects adversely on the Lawyer's honesty, trustworthiness, or fitness as a Lawyer in other respects, or in cases with conduct involving dishonesty, fraud, deceit, or misrepresentation.

(1) Delicensure is generally appropriate when:

(A) a Lawyer engages in serious criminal conduct, a necessary element of which includes intentional interference with the administration of justice, false swearing, misrepresentation, fraud, extortion, misappropriation, or theft; or the sale, distribution, or importation of controlled substances; or the intentional killing of another; or an attempt, conspiracy, or solicitation of another to commit any of these offenses; or

(B) a Lawyer engages in any other intentional conduct involving dishonesty, fraud, deceit, or misrepresentation that seriously adversely reflects on the Lawyer's fitness to practice.

(2) Suspension is generally appropriate when a Lawyer knowingly engages in criminal conduct which does not contain the elements listed in (a)(1) and that seriously adversely reflects on the Lawyer's fitness to practice.

(3) Reprimand is generally appropriate when a Lawyer negligently engages in any other conduct that involves dishonesty, fraud, deceit, or misrepresentation and that adversely reflects on the Lawyer's fitness to practice law.

(4) Admonition is generally appropriate when a Lawyer engages in any other conduct that reflects adversely on the Lawyer's fitness to practice law.

(b) Failing to maintain the public trust. The following sanctions are generally appropriate in cases involving public officials who engage in conduct that is prejudicial to the administration of justice or who state or imply an ability to influence improperly a government agency or official:

1 (1) Delicensure is generally appropriate when a Lawyer in an official or
2 governmental position knowingly misuses the position with the intent to obtain
3 a significant benefit or advantage for himself or another, or with the intent to
4 cause serious or potentially serious injury to a party or to the integrity of the legal
5 process.

6 (2) Suspension is generally appropriate when a Lawyer in an official or
7 governmental position knowingly fails to follow proper procedures or rules, and
8 causes injury or potential injury to a party or to the integrity of the legal process.

9 (3) Reprimand is generally appropriate when a Lawyer in an official or
10 governmental position negligently fails to follow proper procedures or rules, and
11 causes injury or potential injury to a party or to the integrity of the legal process.

12 (4) Admonition is generally appropriate when a Lawyer in an official or
13 governmental position engages in an isolated instance of negligence in not
14 following proper procedures or rules, and causes little or no actual or potential
15 injury to a party or to the integrity of the legal process.
16

Rule 11-585. Sanctions for violating duties owed to the legal system.

(a) False statements, fraud, and misrepresentation. The following sanctions are generally appropriate when a Lawyer's conduct is prejudicial to the administration of justice or involves dishonesty, fraud, deceit, or misrepresentation to a court:

(1) Delicensure is generally appropriate when a Lawyer, with the intent to deceive the court, makes a false statement, submits a false document, or improperly withholds material information, and causes serious or potentially serious injury to a party, or causes a significant or potentially significant adverse effect on the legal proceeding.

(2) Suspension is generally appropriate when a Lawyer knows that false statements or documents are being submitted to the court or that material information is improperly being withheld, and takes no remedial action, and causes injury or potential injury to a party to the legal proceeding, or causes an adverse or potentially adverse effect on the legal proceeding.

(3) Reprimand is generally appropriate when a Lawyer is negligent either in determining whether statements or documents are false or in taking remedial action when material information is being withheld and causes injury or potential injury to a party to the legal proceeding, or causes an adverse or potentially adverse effect on the legal proceeding.

(4) Admonition is generally appropriate when a Lawyer engages in an isolated instance of neglect in determining whether submitted statements or documents are false or in failing to disclose material information upon learning of its falsity, and causes little or no actual or potential injury to a party, or causes little or no adverse or potentially adverse effect on the legal proceeding.

(b) Abuse of the legal process. The following sanctions are generally appropriate when a Lawyer fails to expedite litigation or bring a meritorious claim, or fails to obey any

obligation under the rules of a tribunal except for an open refusal based on an assertion that no valid obligation exists:

(1) Delicensure is generally appropriate when a Lawyer knowingly violates a court order or rule with the intent to obtain a benefit for the Lawyer or another, and causes serious or potentially serious injury to a party or causes serious or potentially serious interference with a legal proceeding.

(2) Suspension is generally appropriate when a Lawyer knows that the Lawyer is violating a court order or rule, and causes injury or potential injury to a client or a party, or causes interference or potential interference with a legal proceeding.

(3) Reprimand is generally appropriate when a Lawyer negligently fails to comply with a court order or rule, and causes injury or potential injury to a client or other party, or causes interference or potential interference with a legal proceeding.

(4) Admonition is generally appropriate when a Lawyer engages in an isolated instance of negligence in complying with a court order or rule, and causes little or no actual or potential injury to a party, or causes little or no actual or potential interference with a legal proceeding.

(c) **Improper communications with individuals in the legal system.** The following sanctions are generally appropriate when a Lawyer attempts to influence a judge, juror, prospective juror, or other official by means prohibited by law:

(1) Delicensure is generally appropriate when a Lawyer:

(A) intentionally tampers with a witness and causes serious or potentially serious injury to a party, or causes significant or potentially significant interference with the outcome of the legal proceeding;

(B) makes an ex parte communication with a judge or juror with intent to affect the outcome of the proceeding, and causes serious or potentially

serious injury to a party, or causes significant or potentially significant interference with the outcome of the legal proceeding; or

(C) improperly communicates with someone in the legal system other than a witness, judge, or juror with the intent to influence or affect the outcome of the proceeding, and causes significant or potentially significant interference with the outcome of the legal proceeding.

(2) Suspension is generally appropriate when a Lawyer engages in communication with an individual in the legal system when the Lawyer knows that such communication is improper, and causes injury or potential injury to a party or causes interference or potential interference with the outcome of the legal proceeding.

(3) Reprimand is generally appropriate when a Lawyer is negligent in determining whether it is proper to engage in communication with an individual in the legal system, and causes injury or potential injury to a party or interference or potential interference with the outcome of the legal proceeding.

(4) Admonition is generally appropriate when a Lawyer engages in an isolated instance of negligence in improperly communicating with an individual in the legal system, and causes little or no: (A) actual or potential injury to a party, or (B) actual or potential interference with the outcome of the legal proceeding.

Rule 11-586. Sanctions for violating duties owed as a professional.

The following sanctions are generally appropriate in cases involving false or misleading communication about the Lawyer or the Lawyer's services, including improper communication of fields of practice, improper solicitation of professional employment from a prospective client, unreasonable or improper fees, unauthorized practice of law, improper withdrawal from representation, or failure to report professional misconduct.

(a) Delicensure is generally appropriate when a Lawyer knowingly engages in conduct that is a violation of a duty owed as a professional with the intent to obtain a benefit for the Lawyer or another, and causes serious or potentially serious injury to a client, the public, or the legal system.

(b) Suspension is generally appropriate when a Lawyer knowingly engages in conduct that is a violation of a duty owed as a professional and causes injury or potential injury to a client, the public, or the legal system.

(c) Reprimand is generally appropriate when a Lawyer negligently engages in conduct that is a violation of a duty owed as a professional and causes injury or potential injury to a client, the public, or the legal system.

(d) Admonition is generally appropriate when a Lawyer engages in an isolated instance of negligence that is a violation of a duty owed as a professional, and causes little or no actual or potential injury to a client, the public, or the legal system.

Rule ~~14-606~~11-587. Prior discipline orders.

The following sanctions are generally appropriate in cases involving prior discipline.

(a) Delicensure is generally appropriate when a Lawyer:

(1) intentionally or knowingly violates the terms of a prior disciplinary order and such violation causes injury or potential injury to a client, the public, the legal system, or the profession; or

(2) has been suspended for the same or similar misconduct, and intentionally or knowingly engages in further similar acts of misconduct that cause injury or potential injury to a client, the public, the legal system, or the profession.

(b) Suspension is generally appropriate when a Lawyer has been reprimanded for the same or similar misconduct and engages in further similar acts of misconduct that cause injury or potential injury to a client, the public, the legal system, or the profession.

(c) Reprimand is generally appropriate when a Lawyer:

(1) negligently violates the terms of a prior disciplinary order and such violation causes injury or potential injury to a client, the public, the legal system, or the profession; or

(2) has received an admonition for the same or similar misconduct and engages in further similar acts of misconduct that cause injury or potential injury to a client, the public, the legal system, or the profession.

(d) An admonition is generally not an appropriate sanction when a Lawyer violates the terms of a prior disciplinary order or when a Lawyer has engaged in the same or similar misconduct in the past.

1 ~~Absent aggravating or mitigating circumstances, upon application of the factors set out~~
2 ~~in Rule 14-604, the following principles generally apply in cases involving prior~~
3 ~~discipline.~~

4 ~~(a) The district court or Supreme Court may impose further sanctions upon a~~
5 ~~lawyer who violates the terms of a prior disciplinary order.~~

6 ~~(b) When a lawyer engages in misconduct similar to that for which the lawyer~~
7 ~~has previously been disciplined, the appropriate sanction will generally be one~~
8 ~~level more severe than the sanction the lawyer previously received, provided~~
9 ~~that the harm requisite for the higher sanction is present.~~

Rule ~~14-607~~11-588. Aggravation and mitigation.

(a) Application. After ~~misconduct has been established~~the presumptive sanction has been determined, aggravating and mitigating circumstances may be considered and weighed in ~~deciding what sanction to impose~~deciding whether departure from the presumptive sanction is warranted.

(b) Aggravating circumstances. Aggravating circumstances are any considerations or factors that may justify an increase in the degree of discipline to be imposed.

Aggravating circumstances may include:

- (1) prior record of discipline;
- (2) dishonest or selfish motive;
- (3) a pattern of misconduct;
- (4) multiple offenses;
- (5) obstruction of the disciplinary proceeding by intentionally failing to comply with rules or orders of the disciplinary authority;
- (6) submission of false evidence, false statements, or other deceptive practices during the disciplinary process;
- (7) refusal to acknowledge the wrongful nature of the misconduct involved, either to the client or to the disciplinary authority;
- (8) vulnerability of victim;
- (9) substantial experience in the practice of law;
- (10) lack of good faith effort to make restitution or to rectify the consequences of the misconduct involved; and
- (11) illegal conduct, including the use of controlled substances.

(c) **Mitigating circumstances.** Mitigating circumstances are any considerations or factors that may justify a reduction in the degree of discipline to be imposed. Mitigating circumstances may include:

- (1) absence of a prior record of discipline;
- (2) absence of a dishonest or selfish motive;
- (3) personal or emotional problems;
- (4) timely good faith effort to make restitution or to rectify the consequences of the misconduct involved;
- (5) full and free disclosure to the client or the disciplinary authority prior to the discovery of any misconduct or cooperative attitude toward proceedings;
- (6) inexperience in the practice of law;
- (7) good character or reputation;
- (8) physical disability;
- (9) mental disability or impairment, including substance abuse when:

(A) the ~~R~~espondent is affected by a substance abuse or mental disability; and

(B) the substance abuse or mental disability causally contributed to the misconduct; and

(C) the ~~R~~espondent's recovery from the substance abuse or mental disability is demonstrated by a meaningful and sustained period of successful rehabilitation; and

(D) the recovery arrested the misconduct and the recurrence of that misconduct is unlikely;

(10) unreasonable delay in disciplinary proceedings, provided that the

~~R~~espondent did not substantially contribute to the delay and provided further
that the ~~R~~espondent has demonstrated prejudice resulting from the delay;

(11) interim reform in circumstances not involving mental disability or
impairment;

(12) imposition of other penalties or sanctions;

(13) remorse; and

(14) remoteness of prior offenses.

(~~e~~) **Other circumstances.** The following circumstances ~~should~~ may not be considered
as either aggravating or mitigating:

(1) forced or compelled restitution~~;~~

(2) withdrawal of ~~e~~C~~om~~plaint against the ~~L~~awyer~~;~~

(3) resignation prior to completion of disciplinary proceedings~~;~~

(4) ~~e~~C~~om~~plainant's recommendation as to sanction~~;~~ and

(5) failure of injured client to complain.

Reinstatement.

Rule ~~14-524~~11-590. Reinstatement following a suspension of no more than six months ~~or less or probation.~~

A ~~Respondent~~ who has been suspended for no more than six months or placed on probation ~~or less~~ pursuant to disciplinary proceedings ~~shall~~ will be reinstated at the end of the suspension or probation period ~~period of suspension~~ upon filing with the district court and serving ~~upon the~~ OPC ~~counsel~~ an affidavit stating that the ~~Respondent~~ has fully complied with the requirements of the suspension or probation order and that the ~~Respondent~~ has fully reimbursed the Bar's Lawyers' Fund for Client Protection or Licensed Paralegal Practitioners' Fund for Client Protection for any amounts paid on account of the ~~Respondent's~~ conduct. Within ~~ten~~ 14 days, the OPC ~~counsel~~ may file an objection and ~~thereafter~~ the district court ~~shall conduct~~ will hold a hearing.

Rule ~~14-525~~11-591. Reinstatement following a suspension of more than six months; ~~readmission~~relicensure.

(a) **Generally.** A ~~R~~espondent suspended for more than six months or a ~~disbarred~~ ~~delicensed~~ ~~R~~espondent ~~shall may~~ be reinstated or ~~readmitted-relicensed~~ only upon ~~the~~ ~~district court's~~ order ~~of the district court~~. No ~~R~~espondent may petition for reinstatement until three months before the period for suspension has expired. No ~~R~~espondent may petition for ~~readmission-reinstatement~~ until five years after the effective date of ~~disbarment~~~~delicensure~~. A ~~R~~espondent who has been placed on interim suspension and is then ~~disbarred-delicensed~~ for the same misconduct that was the ground for the interim suspension may petition for ~~readmission-reinstatement or~~ ~~relicensure~~ at the expiration of five years from the effective date of the interim suspension.

(b) **Petition.** A petition for reinstatement or ~~readmission-relicensure~~ ~~shall must~~ be verified, filed with the district court, and ~~shall must~~ specify with particularity the manner in which the ~~R~~espondent meets each of the criteria specified in paragraph (e) or, if not, why there is otherwise good and sufficient reason for reinstatement or ~~readmission-relicensure~~. With specific reference to paragraph (e)(4), ~~prior to the before~~ filing ~~of a~~ petition for ~~reinstatement or readmission-relicensure~~, the ~~R~~espondent must receive a report and recommendation from the Bar's Character and Fitness Committee. In addition to receiving the report and recommendation from the Character and Fitness Committee, the ~~R~~espondent must satisfy all other requirements as set forth in ~~Chapter 14, Article 7, Admissions. Prior to Before~~ or as part of the ~~R~~espondent's petition, the ~~R~~espondent may request ~~to modification~~ or abate~~ment of~~ conditions of discipline, reinstatement or ~~readmission-relicensure~~.

(c) **~~Service of~~Serving the petition.** The ~~R~~espondent ~~shall must~~ serve ~~the OPC with~~ a copy of the petition ~~upon OPC counsel~~.

(d) **~~Publication of~~Publishing notice of petition.** ~~At the time~~~~When~~ a ~~R~~espondent files a petition for reinstatement or ~~readmission-relicensure~~, ~~the~~ OPC ~~counsel shall must~~:

(1) publish a notice of the petition in the Utah Bar Journal, which:-

(A) The notice shall inform s Bar members of the Bar about of the application for reinstatement or ~~readmission~~relicensure, and

(B) shall requests that any individuals file notice of their opposition or concurrence with the district court within ~~3028~~ days of the date of publication; and

(2) In addition, OPC counsel shall notify send a notice to the Complainant's last known address according to OPC records, to each eComplainant in the disciplinary proceeding that led to the rRespondent's suspension or disbarment delicensure informing such Complainant that:

(A) the rRespondent is applying for reinstatement or readmission relicensure, and

(B) shall inform each complainant that the eComplainant has 3028 days from the mailing date of mailing to raise objections to or to support the rRespondent's petition. Notice shall be mailed to the last known address of each complainant in OPC counsel's records.

(e) **Criteria for reinstatement and ~~readmission~~relicensure.** A rRespondent may be reinstated or ~~readmitted~~relicensed only if the rRespondent meets each of the following criteria, or, if not, presents good and sufficient reason why the rRespondent should nevertheless be reinstated or ~~readmitted~~relicensed.

(1) The rRespondent has fully complied with the terms and conditions of all prior disciplinary orders except to the extent ~~they~~such orders are abated by the district court.

(2) The rRespondent has not engaged nor attempted to engage in the unauthorized practice of law during the period of suspension or ~~disbarment~~delicensure.

(3) If the ~~#~~Respondent was suffering from a physical or mental disability or impairment which was a causative factor of the ~~#~~Respondent's misconduct, including substance abuse, the disability or impairment has been removed. Where substance abuse was a causative factor in the ~~#~~Respondent's misconduct, the ~~#~~Respondent ~~shall~~may not be reinstated or ~~readmitted~~relicensed unless the Respondent:

(A) ~~the respondent~~ has recovered from the substance abuse as demonstrated by a meaningful and sustained period of successful rehabilitation;

(B) ~~the respondent~~ has abstained from the use of the abused substance and the unlawful use of controlled substances for the preceding six months; and

(C) ~~the respondent~~ is likely to continue to abstain from the substance abused and the unlawful use of controlled substances.

(4) Notwithstanding the conduct for which the ~~#~~Respondent was disciplined, the ~~#~~Respondent has the requisite honesty, ~~and~~ integrity, ~~and~~ fitness to practice law. In ~~readmission~~relicensure cases, the ~~#~~Respondent must appear before the Bar's Character and Fitness Committee and cooperate in its investigation of the ~~#~~Respondent. A copy of the Character and Fitness Committee's report and recommendation ~~shall~~will be provided to the OPC and forwarded to the district court assigned to the petition after the ~~#~~Respondent files a petition.

(A) Factors considered in determining honesty, integrity, and fitness for reinstatement or relicensure. The court must determine whether the Lawyer seeking reinstatement or relicensure has demonstrated the requisite honesty, integrity, and fitness to practice law. The court may consider the Respondent's actions taken during the suspension or delicensure including:

- (i) lack of candor;
- (ii) unlawful conduct;
- (iii) false or misleading statements or omissions;
- (iv) acts involving dishonesty, fraud, deceit, or misrepresentation;
- (v) abuse of the legal process;
- (vi) neglecting financial responsibilities;
- (vii) violating court order;
- (viii) evidence of mental or emotional instability; and
- (ix) evidence of drug or alcohol dependency;

(B) Assigning weight and significance to conduct. In determining honesty, integrity, and fitness to practice law, the court may use the following factors to assign weight and significance to prior conduct:

- (i) how recent the conduct occurred,
- (ii) seriousness of the conduct,
- (iii) cumulative effect of the conduct,
- (iv) evidence of rehabilitation, and
- (v) positive social contributions while suspended.

(5) The ~~R~~espondent has kept informed about recent developments in the law by engaging in legal education and is competent to practice.

(6) In cases of suspensions for one year or more, ~~the a R~~espondent lawyer shall will be required to retake and pass the Multistate Professional Responsibility Examination, and Respondent licensed paralegal practitioners must pass the Licensed Paralegal Practitioner Professional Responsibility Exam.

(7) In all cases of ~~disbarment~~delicensure, ~~thea R~~the Respondent ~~lawyer shall will~~ be required to pass the student applicant Bar Examination and the Multistate Professional Responsibility Examination, and Respondent licensed paralegal practitioners must pass the student applicant Licensed Paralegal Practitioner Licensing Exam.

(8) The ~~R~~Respondent has fully reimbursed the Bar's Lawyers' Fund for Client Protection or Licensed Paralegal Practitioners' Fund for Client Protection for any amounts paid on account of the ~~R~~Respondent's conduct.

(f) **Review of petition.** Within 60 days ~~after of~~ receiving a ~~R~~Respondent's petition for reinstatement or ~~readmission~~relicensure, ~~the OPC-counsel shall must~~ either:

(1) advise the ~~R~~Respondent and ~~the~~ district court that ~~the OPC-counsel~~ will not object to the ~~R~~Respondent's reinstatement or ~~readmission~~relicensure; or

(2) ~~file a written~~objection in writing to the petition.

(g) **Hearing; report.** If ~~the OPC an~~objection is filed by OPC counsel, the district court, as soon as reasonably practicable and within a target date of 90 days of the filing of the petition, ~~shall will~~ conduct a hearing at which the ~~R~~Respondent shall will have the burden of demonstrating by a preponderance of the evidence that the ~~R~~Respondent has met each of the criteria in paragraph (e) or, if not, that there is good and sufficient reason why the ~~R~~Respondent should nevertheless be reinstated or ~~readmitted~~relicensed. The district court ~~shall will~~ enter its findings and order. If ~~the OPC does not no~~objection is filed by OPC counsel, the district court ~~shall will~~ review the petition without a hearing and enter its findings and order.

(h) **Successive petitions.** Unless the district court orders otherwise ~~ordered by the district court~~, no ~~R~~Respondent shall may apply for reinstatement or ~~readmission~~relicensure within one year following an adverse judgment upon a petition for reinstatement or ~~readmission~~relicensure.

(i) **Conditions of reinstatement or ~~readmission-relicensure~~**. The district court may impose conditions on a ~~R~~Respondent's reinstatement or ~~readmission-relicensure~~ if the ~~R~~Respondent has met the burden of proof justifying reinstatement or ~~readmission-relicensure~~, but the district court reasonably believes that further precautions should be taken to ensure that the public will be protected ~~upon~~ when the ~~R~~Respondent's returns to practice.

(j) **Reciprocal reinstatement or ~~readmission-relicensure~~**. If a ~~R~~Respondent has been suspended or ~~disbarred-delicensed~~ solely ~~on the basis because~~ of discipline imposed by another court, another jurisdiction, or a regulatory body having disciplinary jurisdiction, and if the ~~R~~Respondent is later reinstated or ~~readmitted-relicensed~~ by that court, jurisdiction or regulatory body, the ~~R~~Respondent may petition for reciprocal reinstatement or ~~readmission-relicensure~~ in Utah. The ~~R~~Respondent ~~shall~~ must file with the district court and serve ~~upon the OPC-counsel with~~ a petition for reciprocal reinstatement or ~~readmission-relicensure, as the case may be~~. The petition ~~shall~~ must include a certified or otherwise authenticated copy of the order of reinstatement or ~~readmission-relicensure~~ from the other court, jurisdiction, or regulatory body. Within ~~201~~ days of ~~receivingservice of~~ the petition, ~~the OPC-counsel~~ may ~~file an~~ objection ~~thereto~~ based solely ~~up~~on substantial procedural irregularities. If ~~an objection is filed the~~ OPC objects, the district court ~~shall~~ will hold a hearing and enter its findings and order. If no objection is filed, the district court ~~shall~~ will enter its order based ~~up~~on the petition.

- 1 ~~Rule 14-528. Appeal by complainant.~~
- 2 ~~The complainant shall not have a right of appeal, except as provided in Rule 14-~~
- 3 ~~510(a)(7) to appeal a dismissal of an informal complaint.~~

Chapter 15 Rules Governing Licensed Paralegal Practitioners

Article 5. Licensed Paralegal Practitioner Discipline and Disability

Rule 15-501. Purpose, authority, scope and structure of licensed paralegal practitioner disciplinary and disability proceedings.

(a) The purpose of licensed paralegal practitioner disciplinary and disability proceedings is to ensure and maintain the high standard of professional conduct required of those who undertake the discharge of professional responsibilities as licensed paralegal practitioners and to protect the public and the administration of justice from those who have demonstrated by their conduct that they are unable or unlikely to properly discharge their professional responsibilities.

(b) Under Article VIII, Section 4 of the Constitution of Utah, the Utah Supreme Court has exclusive authority within Utah to adopt and enforce rules governing the practice of law.

(c) All disciplinary proceedings shall be conducted in accordance with this article and Article 6, Standards for Imposing Licensed Paralegal Practitioner Sanctions. Formal disciplinary and disability proceedings are civil in nature. These rules shall be construed so as to achieve substantial justice and fairness in disciplinary matters with dispatch and at the least expense to all concerned parties.

(d) The interests of the public, the courts, and the legal profession all require that disciplinary proceedings at all levels be undertaken and construed to secure the just and speedy resolution of every complaint.

Comment [LL43]: All Chapter 15, Articles 5 and 6 rules have been incorporated into the Chapter 11, Article 5 rules.

~~Rule 15-502. Definitions.~~

~~As used in this article:~~

~~(a) "Bar" means the Utah State Bar;~~

~~(b) "Board" means the Board of Commissioners of the Utah State Bar;~~

~~(c) "Committee" means the Ethics and Discipline Committee of the Utah Supreme Court;~~

~~(d) "complainant" means the person who files an informal complaint or the OPC when the OPC determines to open an investigation based on information it has received;~~

~~(e) "formal complaint" means a complaint filed in the district court alleging misconduct by a licensed paralegal practitioner or seeking the transfer of a licensed paralegal practitioner to disability status;~~

~~(f) "informal complaint" means any written, notarized allegation of misconduct by or incapacity of a licensed paralegal practitioner which also contains a verification attesting to the accuracy of the information provided;~~

~~(g) "Lawyer Rule" or "Lawyer Rules" means the rules of Lawyer Discipline and Disability in Chapter 14, Article 5 of the Rules of Professional Practice of the Supreme Court.~~

~~(h) "NOIC" means Notice of Informal Complaint sent to the respondent after a preliminary investigation;~~

~~(i) "OPC" means the Bar's Office of Professional Conduct;~~

~~(j) "OPC counsel" means senior counsel and any assistant counsel employed to assist senior counsel;~~

~~(k) "respondent" means a licensed paralegal practitioner subject to the disciplinary jurisdiction of the Utah Supreme Court against whom an informal or formal complaint has been filed;~~

~~(l) "Licensed Paralegal Practitioner Rules of Professional Conduct" means the rules in Article 12, Licensed Paralegal Practitioner Rules of Professional Conduct;~~
~~(m) "Rule" means, except where indicated otherwise, one of the rules of Licensed Paralegal Practitioner Discipline and Disability;~~
~~(n) "screening panel" means members of the Committee who participate in hearings and make determinations under Rule 15-503;~~
~~(o) "senior counsel" means the lawyer appointed by the Board to manage the OPC; and~~
~~(p) "Supreme Court" means the Utah Supreme Court.~~

~~Rule 15-503. Ethics and Discipline Committee.~~

~~(a) Rule 14-503 of the Lawyer Rules is incorporated with regard to licensed paralegal practitioners as Rule 15-503 and shall apply to complaints involving licensed paralegal practitioners.~~

~~(b) Whenever a screening panel is assigned a complaint involving a licensed paralegal practitioner, the Committee chair may appoint up to two licensed paralegal practitioners to the screening panel. A licensed paralegal practitioner member shall be a voting member, and shall have all of the responsibilities and duties of other members of the screening panel.~~

1 ~~Rule 15-504. OPC counsel.~~
2 ~~Lawyer Rule 14-504 is incorporated with regard to licensed paralegal practitioners as~~
3 ~~Rule 15-504. All provisions of Lawyer Rule 14-504 shall apply to licensed paralegal~~
4 ~~practitioners as they do to lawyers.~~

1 | ~~Rule 15-505. Reserved.~~

~~Rule 15-506. Jurisdiction.~~

~~(a) Persons practicing as a licensed paralegal practitioner. The persons subject to the disciplinary jurisdiction of the Supreme Court and the OPC include any licensed paralegal practitioner, and any formerly licensed paralegal practitioner with respect to acts committed while licensed to practice in Utah or with respect to acts subsequent thereto which amount to the practice of law or constitute a violation of any rule promulgated, adopted, or approved by the Supreme Court or any other disciplinary authority where the licensed paralegal practitioner was licensed to practice or was practicing law at the time of the alleged violation, and any other person not licensed in Utah who practices law as a licensed paralegal practitioner or who renders or offers to render any legal services as a licensed paralegal practitioner in Utah.~~

~~(b) Reserved.~~

~~(c) Reserved.~~

~~(d) Reserved.~~

1 | ~~Rule 15-507. Reserved.~~

~~Rule 15-508. Periodic assessment of licensed paralegal practitioners.~~

~~(a) Annual licensing fee. Every licensed paralegal practitioner licensed to practice in Utah shall pay to the Bar on or before July 1 of each year an annual license fee for each fiscal year to be fixed by the Board from time to time and approved by the Supreme Court. The fee shall be sufficient to pay the costs of disciplinary administration and enforcement under this article.~~

~~(b) Failure to renew annual license. Failure to pay the annual licensing fee or provide the required annual licensing information shall result in administrative suspension. Any licensed paralegal practitioner who practices law after failure to renew his or her license violates the Licensed Paralegal Practitioner Rules of Professional Conduct and may be disciplined. The executive director or his or her designee shall give notice of such removal from the rolls to such non-complying licensed paralegal practitioner at the designated mailing address on record at the Bar and to the state courts in Utah. The non-complying licensed paralegal practitioner may apply in writing for relicensure by tendering the license fees and/or the required information and an additional \$100 reinstatement fee. Upon receiving the same, the Bar shall order relicensure and so notify the courts. Relicensure based on failure to renew does not negate any orders of discipline.~~

~~Rule 15-509. Grounds for discipline.~~

~~It shall be a ground for discipline for a licensed paralegal practitioner to:~~

~~(a) violate the Licensed Paralegal Practitioner Rules of Professional Conduct;~~

~~(b) willfully violate a valid order of a court or a screening panel imposing discipline;~~

~~(c) be publicly disciplined in another jurisdiction;~~

~~(d) fail to comply with the requirements of Rule 15-526(d); or~~

~~(e) fail to notify the OPC of public discipline in another jurisdiction in accordance with~~

~~Rule 15-522(a).~~

Rule 15-510. Prosecution and appeals.

~~(a) Informal complaint of unprofessional conduct.~~

~~(a)(1) Filing. A disciplinary proceeding may be initiated against any licensed paralegal practitioner by any person, OPC counsel or the Committee, by filing with the Bar, in writing, an informal complaint in ordinary, plain and concise language setting forth the acts or omissions claimed to constitute unprofessional conduct. Upon filing, an informal complaint shall be processed in accordance with this article.~~

~~(a)(2) Form of informal complaint. The informal complaint need not be in any particular form or style and may be by letter or other informal writing, although a form may be provided by the OPC to standardize the informal complaint format. It is unnecessary that the informal complaint recite disciplinary rules, ethical canons or a prayer requesting specific disciplinary action. The informal complaint shall be signed by the complainant and shall set forth the complainant's address, and may list the names and addresses of other witnesses. The informal complaint shall be notarized and contain a verification attesting to the accuracy of the information contained in the complaint. In accordance with Rule 15-504(b), complaints filed by OPC are not required to contain a verification. The substance of the informal complaint shall prevail over the form.~~

~~(a)(3) Initial investigation. Upon the filing of an informal complaint, OPC counsel shall conduct a preliminary investigation to ascertain whether the informal complaint is sufficiently clear as to its allegations. If it is not, OPC counsel shall seek additional facts from the complainant; additional facts shall also be submitted in writing and signed by the complainant.~~

~~(a)(4) Potential Referral to Professionalism Counseling Board. In connection with any conduct that comes to their attention, whether by means of an informal complaint, a preliminary investigation, or any other means, OPC counsel may, at~~

1 ~~its discretion, refer any matter to the Professionalism Counseling Board~~
2 ~~established pursuant to Rule 14-303. Such referral may be in addition to or in~~
3 ~~lieu of any further proceedings related to the subject matter of the referral. Such~~
4 ~~referral should be in writing and, at the discretion of OPC counsel, may include~~
5 ~~any or all information included in an informal complaint or additional facts~~
6 ~~submitted by a complainant.~~

7 ~~(a)(5) Notice of informal complaint. Upon completion of the~~
8 ~~preliminary investigation, OPC counsel shall determine whether the informal~~
9 ~~complaint can be resolved in the public interest, the respondent's interest and the~~
10 ~~complainant's interest. OPC counsel and/or the screening panel may use their~~
11 ~~efforts to resolve the informal complaint. If the informal complaint cannot be so~~
12 ~~resolved or if it sets forth facts which, by their very nature, should be brought~~
13 ~~before the screening panel, or if good cause otherwise exists to bring the matter~~
14 ~~before the screening panel, OPC counsel shall cause to be served a NOIC by~~
15 ~~regular mail upon the respondent at the address reflected in the records of the~~
16 ~~Bar. The NOIC shall have attached a true copy of the signed informal complaint~~
17 ~~against the respondent and shall identify with particularity the possible~~
18 ~~violation(s) of the Licensed Paralegal Practitioner Rules of Professional Conduct~~
19 ~~raised by the informal complaint as preliminarily determined by OPC counsel.~~

20 ~~(a)(6) Answer to informal complaint. Within 20 days after service of the NOIC on~~
21 ~~the respondent, the respondent shall file with OPC counsel a written and signed~~
22 ~~answer setting forth in full an explanation of the facts surrounding the informal~~
23 ~~complaint, together with all defenses and responses to the claims of possible~~
24 ~~misconduct. For good cause shown, OPC counsel may extend the time for the~~
25 ~~filing of an answer by the respondent not to exceed an additional 30 days. Upon~~
26 ~~the answer having been filed or if the respondent fails to respond, OPC counsel~~
27 ~~shall refer the case to a screening panel for investigation, consideration and~~

determination or recommendation. OPC counsel shall forward a copy of the answer to the complainant.

~~(a)(7) Dismissal of informal complaint. An informal complaint which, upon consideration of all factors, is determined by OPC counsel to be frivolous, unintelligible, barred by the statute of limitations, more adequately addressed in another forum, unsupported by fact or which does not raise probable cause of any unprofessional conduct, or which OPC declines to prosecute may be dismissed by OPC counsel without hearing by a screening panel. OPC counsel shall notify the complainant of such dismissal stating the reasons therefor. The complainant may appeal a dismissal by OPC counsel by filing written notice with the Clerk of the Committee within 15 days after notification of the dismissal is mailed. Upon appeal, the Committee chair shall conduct a de novo review of the file, either affirm the dismissal or require OPC counsel to prepare a NOIC, and set the matter for hearing by a screening panel. In the event of the chair's recusal, the chair shall appoint the vice chair or one of the screening panel chairs to review and determine the appeal.~~

~~(b) Proceedings before Committee and screening panels.~~

~~(b)(1) Review and investigation. In their role as fact finders and investigators, screening panels shall review all informal complaints referred to them by OPC counsel, including all the facts developed by the informal complaint, answer, investigation and hearing, and the recommendations of OPC counsel. Prior to any hearing OPC may file with the clerk and serve on the respondent a summary of its investigation. If filed, the summary shall identify with particularity any additional violations of the Licensed Paralegal Practitioner Rules of Professional Conduct as subsequently determined by OPC after service of the NOIC. If provided to the screening panel, the summary shall also be provided to the respondent and shall serve as notice of any additional violations not previously charged by OPC in the NOIC. If additional rule violations are alleged in the~~

summary, the summary shall be served on the respondent no less than seven days prior to the hearing. In cases where a judicial officer has not addressed or reported a respondent's alleged misconduct, the screening panel should not consider this inaction to be evidence either that misconduct has occurred or has not occurred.

(b)(2) Respondent's appearance. Before any action is taken that may result in the recommendation of an admonition or public reprimand or the filing of a formal complaint, the screening panel shall, upon at least 30 days' notice, afford the respondent an opportunity to appear before the screening panel. Respondent and any witnesses called by the respondent may testify, and respondent may present oral argument with respect to the informal complaint. Respondent may also submit a written brief to the screening panel at least 10 days prior to the hearing, which shall not exceed 10 pages in length unless permission for enlargement is extended by the panel chair or vice chair for good cause shown. A copy of the brief shall be forwarded by OPC counsel to the complainant. If OPC identifies additional rule violations in the summary referenced in (b)(1), the respondent may file an additional written response addressing those alleged violations prior to the hearing.

(b)(3) Complainant's appearance. A complainant shall have the right to appear before the screening panel personally and, together with any witnesses called by the complainant, may testify.

(b)(4) Right to hear evidence; cross-examination. The complainant and the respondent shall have the right to be present during the presentation of the evidence unless excluded by the screening panel chair for good cause shown. Respondent may be represented by counsel, and complainant may be represented by counsel or some other representative. Either complainant or respondent may seek responses from the other party at the hearing by posing questions or areas of inquiry to be asked by the panel chair. Direct cross-

1 examination will ordinarily not be permitted except, upon request, when the
2 panel chair deems that it would materially assist the panel in its deliberations.

3 ~~(b)(5) Rule Violations Not Charged by OPC. During the screening panel hearing,~~
4 ~~but not after, the panel may find that rule violations not previously charged by~~
5 ~~OPC in the NOIC or summary memorandum have occurred. If so, the screening~~
6 ~~panel shall give the respondent a reasonable opportunity to respond during the~~
7 ~~hearing. The respondent may address the additional charges at the hearing and~~
8 ~~also file with the Clerk and serve on OPC within two business days of the~~
9 ~~hearing a written response to the new charges along with supplemental materials~~
10 ~~related to the new charges. Prior to making a determination or recommendation,~~
11 ~~the response and any supplemental materials shall be reviewed and considered~~
12 ~~by at least a quorum of the panel members present at the original hearing.~~

13 ~~(b)(6) Hearing Record. The proceedings of any hearing before a screening panel~~
14 ~~under this subsection (b) shall be recorded at a level of audio quality that permits~~
15 ~~an accurate transcription of the proceedings. The Clerk shall assemble a complete~~
16 ~~record of the proceedings and deliver it to the chair of the Committee upon the~~
17 ~~rendering of the panel's determination or recommendation to the Committee~~
18 ~~chair. The record of the proceedings before the panel shall be preserved for not~~
19 ~~less than one year following delivery of the panel's determination or~~
20 ~~recommendation to the chair of the Committee and for such additional period as~~
21 ~~any further proceedings on the matter are pending or might be instituted under~~
22 ~~this section.~~

23 ~~(b)(7) Screening panel determination or recommendation. Upon review of all the~~
24 ~~facts developed by the informal complaint, answer, investigation and hearing,~~
25 ~~the screening panel shall make one of the following determinations or~~
26 ~~recommendations:~~

27 ~~(b)(7)(A) The preponderance of evidence presented does not establish that~~
28 ~~the respondent was engaged in misconduct, in which case the informal~~

1 complaint shall be dismissed. A letter of caution may also be issued with
2 the dismissal. The letter shall be signed by OPC counsel or the screening
3 panel chair and shall serve as a guide for the future conduct of the
4 respondent. The complainant shall also be confidentially notified of the
5 caution;

6 (b)(7)(B) The informal complaint shall be referred to the Diversion
7 Committee for diversion. In this case, the specific material terms of the
8 Diversion Contract agreed to by the respondent are to be recorded as a
9 part of the screening panel record, along with any comments by the
10 complainant. The screening panel shall have no further involvement in
11 processing the diversion. The Diversion Committee shall process the
12 diversion in accordance with Rule 15-533.

13 (b)(7)(C) The informal complaint shall be referred to the Professionalism
14 Counseling Board established pursuant to the Supreme Court's Standing
15 Order No. 7;

16 (b)(7)(D) The informal complaint shall be referred to the Committee chair
17 with an accompanying screening panel recommendation that the
18 respondent be admonished;

19 (b)(7)(E) The informal complaint shall be referred to the Committee chair
20 with an accompanying screening panel recommendation that the
21 respondent receive a public reprimand; or

22 (b)(7)(F) A formal complaint shall be filed against the respondent if the
23 panel finds there is probable cause to believe there are grounds for public
24 discipline and that a formal complaint is merited. A formal complaint
25 shall also be filed if the panel finds there was misconduct and the
26 misconduct is similar to the misconduct alleged in a formal complaint

1 against the respondent that has been recommended by a screening panel
2 or is pending in district court at the time of the hearing.

3 ~~(b)(8) Aggravation and Mitigation. The respondent and OPC may present~~
4 ~~evidence and argument as to mitigating and aggravating circumstances during~~
5 ~~the screening panel hearing, but this evidence shall not be considered until after~~
6 ~~the panel has determined the respondent engaged in misconduct.~~

7 ~~(b)(9) Multiple cases involving the same respondent. More than one case~~
8 ~~involving the same respondent may be scheduled before the same panel. In~~
9 ~~determining whether a rule has been violated in one case, a screening panel shall~~
10 ~~not consider the fact it may be hearing multiple cases against the same~~
11 ~~respondent.~~

12 ~~(b)(10) Recommendation of admonition or public reprimand. A screening panel~~
13 ~~recommendation that the respondent should be disciplined under subsection~~
14 ~~(b)(7)(D) or (b)(7)(E) shall be in writing and shall state the substance and nature~~
15 ~~of the informal complaint and defenses and the basis upon which the screening~~
16 ~~panel has concluded, by a preponderance of the evidence, that the respondent~~
17 ~~should be admonished or publicly reprimanded. A copy of the recommendation~~
18 ~~shall be delivered to the Committee chair and a copy served upon the~~
19 ~~respondent and OPC.~~

20 ~~(c) Exceptions to screening panel determinations and recommendations. Within 30 days~~
21 ~~after the date of service of the determination of the screening panel of a dismissal,~~
22 ~~dismissal with letter of caution, a referral to the Diversion Committee, a referral to the~~
23 ~~Professionalism Counseling Board, or the recommendation of an admonition, or the~~
24 ~~recommendation of a public reprimand, OPC may file with the Clerk of the Committee~~
25 ~~exceptions to the determination or recommendation and may request a hearing. The~~
26 ~~respondent shall then have 30 days within which to make a response, and the response~~
27 ~~shall include respondent's exceptions, if any, to a recommendation of an admonition or~~
28 ~~reprimand. Within 30 days after service of the recommendation of an admonition or~~

1 ~~public reprimand on respondent, the respondent may file with the Clerk of the~~
2 ~~Committee exceptions to the recommendation and may request a hearing, and OPC~~
3 ~~shall have 30 days within which to file a response. The Committee chair may allow a~~
4 ~~reply to any response. No exception may be filed to a screening panel determination~~
5 ~~that a formal complaint shall be filed against a respondent pursuant to Rule 15-511. All~~
6 ~~exceptions shall include a memorandum, not to exceed 20 pages, stating the grounds for~~
7 ~~review, the relief requested and the bases in law or in fact for the exceptions.~~

8 ~~(d) Procedure on exceptions.~~

9 ~~(d)(1) Hearing not requested. If no hearing is requested, the Committee chair will~~
10 ~~review the record compiled before the screening panel.~~

11 ~~(d)(2) Hearing requested. If a request for a hearing is made, the Committee chair~~
12 ~~or a screening panel chair designated by the Committee chair shall serve as the~~
13 ~~Exceptions Officer and hear the matter in an expeditious manner, with OPC~~
14 ~~counsel and the respondent having the opportunity to be present and give an~~
15 ~~oral presentation. The complainant need not appear personally.~~

16 ~~(d)(3) Transcript Request. Upon request the Committee chair shall extend the~~
17 ~~deadlines for filing exceptions or responses in order to allow a party time to~~
18 ~~obtain a transcript of the screening panel proceedings. The cost of such transcript~~
19 ~~shall be borne by the requesting party. The party obtaining the transcript shall~~
20 ~~file it with the Clerk, together with an affidavit establishing the chain of custody~~
21 ~~of the record.~~

22 ~~(d)(4) Burden of proof. The party who files exceptions under subsection (c) shall~~
23 ~~have the burden of showing that the determination or recommendation of the~~
24 ~~screening panel is unsupported by substantial evidence or is arbitrary,~~
25 ~~capricious, legally insufficient or otherwise clearly erroneous.~~

~~(d)(5) Record on exceptions. The proceedings of any hearing on exceptions under this subsection (d) shall be recorded at a level of audio quality that permits an accurate transcription of the proceedings.~~

~~(e) Final Committee disposition. Either upon the completion of the exceptions procedure under subsection (d) or if no exceptions have been filed under subsection (c), the Committee chair shall issue a final, written determination that either sustains, dismisses, or modifies the determination or recommendation of the screening panel. No final written determination is needed by the Committee chair to a screening panel determination to a dismissal, a dismissal with a letter of caution, or a referral to the Diversion Committee if no exception is filed.~~

~~(f) Appeal of a final Committee determination.~~

~~(f)(1) Within 30 days after service of a final, written determination of the Committee chair under subsection (e), the respondent or OPC may file a request for review by the Supreme Court seeking reversal or modification of the final determination of the Committee. A request for review under this subsection shall only be available in cases where exceptions have been filed under subsection (c). Dissemination of disciplinary information pursuant to Rules 15-504(b)(12) or 15-516 shall be automatically stayed during the period within which a request for review may be filed under this subsection. If a timely request for review is filed, the stay shall remain in place pending resolution by the Supreme Court unless the Court otherwise orders.~~

~~(f)(2) A request for review under this subsection (f) will be subject to the procedures set forth in Title III of the Utah Rules of Appellate Procedure. Documents submitted under this Rule shall conform to the requirements of Rules 27(a) and 27(b) of the Utah Rules of Appellate Procedure.~~

~~(f)(3) A party requesting a transcription of the record below shall bear the costs. The party obtaining the transcript shall file it with the Clerk of the Court, together with an affidavit establishing the chain of custody of the record.~~

~~(f)(4) The Supreme Court shall conduct a review of the matter on the record.~~

~~(f)(5) The party requesting review shall have the burden of demonstrating that the Committee action was:~~

~~(f)(5)(A) Based on a determination of fact that is not supported by substantial evidence when viewed in light of the whole record before the Court;~~

~~(f)(5)(B) An abuse of discretion;~~

~~(f)(5)(C) Arbitrary or capricious; or~~

~~(f)(5)(D) Contrary to Articles 5 and 6 of Chapter 15, Rules Governing Licensed Paralegal Practitioners.~~

~~(g) General procedures.~~

~~(g)(1) Testimony. All testimony given before a screening panel or the Exceptions Officer shall be under oath.~~

~~(g)(2) Service. To the extent applicable, service or filing of documents under this Rule is to be made in accordance with Utah Rules of Civil Procedure 5(b)(1), 5(d) and 6(a).~~

~~(g)(3) Continuance of disciplinary proceedings. A disciplinary proceeding may be held in abeyance by the Committee chair prior to the filing of a formal complaint when the allegations or the informal complaint contain matters of substantial similarity to the material allegations of pending criminal or civil litigation in which the respondent is involved.~~

~~Rule 15-511. Proceedings subsequent to finding of probable cause.~~

~~(a) Commencement of action. If the screening panel finds probable cause to believe that there are grounds for public discipline and that a formal complaint is merited, OPC counsel shall prepare and file with the district court a formal complaint setting forth in plain and concise language the facts upon which the charge of unprofessional conduct is based and the applicable provisions of the Licensed Paralegal Practitioner Rules of Professional Conduct. The formal complaint shall be signed by the Committee chair or, in the chair's absence, by the Committee vice chair or a screening panel chair designated by the Committee chair.~~

~~(b) Venue. The action shall be brought and the trial shall be held in the county in which an alleged offense occurred or in the county where the respondent resides or practices law as a licensed paralegal practitioner or last practiced law as a licensed paralegal practitioner in Utah; provided, however, that if the respondent is not a resident of Utah and the alleged offense is not committed in Utah, the trial shall be held in a county designated by the Chief Justice of the Supreme Court. The parties may stipulate to a change of venue in accordance with applicable law.~~

~~(c) Style of proceedings. All proceedings instituted by the OPC shall be styled "In the Matter of the Discipline of (name of respondent and respondent's license number), Respondent."~~

~~(d) Change of judge as a matter of right.~~

~~(d)(1) Notice of change. The respondent or OPC counsel may, by filing a notice indicating the name of the assigned judge, the date on which the formal complaint was filed, and that a good faith effort has been made to serve all parties, change the judge assigned to the case. The notice shall not specify any reason for the change of judge. The party filing the notice shall send a copy of the notice to the assigned judge and to the presiding judge. The party filing the notice may request reassignment to another district court judge from the same~~

~~district, which request shall be granted. Under no circumstances shall more than one change of judge be allowed to each party under this rule.~~

~~(d)(2) Time. Unless extended by the court upon a showing of good cause, the notice must be filed within 30 days after commencement of the action or prior to the notice of trial setting, whichever occurs first. Failure to file a timely notice precludes any change of judge under this rule.~~

~~(d)(3) Assignment of action. Upon the filing of a notice of change, the assigned judge shall take no further action in the case. The presiding judge shall promptly determine whether the notice is proper and, if so, shall reassign the action. If the presiding judge is also the assigned judge, the clerk shall promptly send the notice to the Chief Justice of the Supreme Court, who shall determine whether the notice is proper and, if so, shall reassign the action.~~

~~(d)(4) Rule 63 and Rule 63A unaffected. This rule does not affect any rights a party may have pursuant to Rule 63 or Rule 63A of the Utah Rules of Civil Procedure.~~

~~(e) Actions tried to the bench; findings and conclusions. All actions tried according to this article shall be tried to the bench, and the district court shall enter findings of fact and conclusions of law. Neither masters nor commissioners shall be utilized.~~

~~(f) Sanctions hearing. Upon a finding of misconduct and as soon as reasonably practicable, within a target date of not more than 30 days after the district court enters its findings of fact and conclusions of law, it shall hold a hearing to receive relevant evidence in aggravation and mitigation, and shall within five days thereafter, enter an order sanctioning the respondent. Upon reasonable notice to the parties, the court, at its discretion, may hold the sanctions hearing immediately after the misconduct proceeding.~~

~~(g) Review. Any discipline order by the district court may be reviewed by the Supreme Court through a petition for review pursuant to the Utah Rules of Appellate Procedure.~~

1 ~~Rule 15-512. Sanctions.~~
2 ~~The imposition of sanctions against a respondent who has been found to have engaged~~
3 ~~in misconduct shall be governed by Chapter 6, Article 15, Standards for Imposing~~
4 ~~Licensed Paralegal Practitioner Sanctions.~~

~~Rule 15-513. Immunity from civil suits.~~

~~Participants in proceedings conducted under this article shall be entitled to the same protections for statements made in the course of the proceedings as participants in judicial proceedings. The district courts, Committee members, supervising attorneys engaged in pro bono assistance, trustees appointed pursuant to Rule 15-527, and OPC counsel and staff shall be immune from suit, except as provided in Utah Rules of Civil Procedure 65A and 65B, for any conduct committed in the course of their official duties, including the investigatory stage. There is no immunity from civil suit for intentional misconduct.~~

~~Rule 15-514. Service.~~

~~(a) Service of formal complaint or other petition. Service of the formal complaint upon the respondent in any disciplinary proceeding or the petition in any disability proceeding shall be made in accordance with the Utah Rules of Civil Procedure.~~

~~(b) Service of other papers. Service of any other papers or notices required by this article shall be made in accordance with the Utah Rules of Civil Procedure.~~

~~Rule 15-515. Access to disciplinary information.~~

~~(a) Confidentiality. Prior to the filing of a formal complaint or the issuance of a public reprimand pursuant to Rule 15-510 in a discipline matter, the proceeding is confidential, except that the pendency, subject matter, and status of an investigation may be disclosed by OPC counsel if the proceeding is based upon allegations that have been disseminated through the mass media, or include either the conviction of a crime or reciprocal public discipline. The proceeding shall not be deemed confidential to the extent:~~

~~(a)(1) the respondent has given an express written waiver of confidentiality;~~

~~(a)(2) there is a need to notify another person or organization, including the Bar's Licensed Paralegal Practitioners' Fund for Client Protection, in order to protect the public, the administration of justice, or the legal profession; or~~

~~(a)(3) the information is required in a subsequent licensed paralegal practitioner sanctions hearing;~~

~~(a)(4) a referral is made to the Professionalism Counseling Board pursuant to Rule 15-510 (a)(4) or (b)(7)(C). In the event of such a referral, OPC counsel, members of the Committee and of any screening panel, and members of the Professionalism Counseling Board may share all information between and among them with the expectation that such information will in all other respects be subject to applicable confidentiality rules or exceptions.~~

~~(b) Public proceedings. Upon the filing of a formal complaint in a discipline matter, the filing of a petition for reinstatement, or the filing of a motion or petition for interim suspension, the proceeding is public, except as provided in paragraph (d) below.~~

~~(c) Proceedings alleging disability. Proceedings for transfer to or from disability status are confidential. All orders transferring a respondent to or from disability status are public.~~

~~(d) Protective order. In order to protect the interest of a complainant, witness, third party, or respondent, the district court may, upon application of any person and for good cause shown, issue a protective order prohibiting the disclosure of specific information and direct that the proceedings be conducted so as to implement the order, including requiring that the hearing be conducted in such a way as to preserve the confidentiality of the information that is the subject of the application.~~

~~(e) Request for nonpublic information. Nonpublic information shall be confidential, other than as authorized for disclosure under paragraph (a), unless:~~

~~(e)(1) the request for information is made by the Board, any Bar committee, a committee or consultant appointed by the Supreme Court or the Board to review OPC operations, or the executive director, and is required in the furtherance of their duties; or~~

~~(e)(2) the request for information is approved by OPC counsel and there is compliance with the provisions of paragraphs (f) and (g) of this rule.~~

~~(f) Notice to the respondent. Except as provided in paragraph (g), if the Committee decides to provide nonpublic information requested pursuant to paragraph (e), and if the respondent has not signed an express written waiver permitting the party requesting the information to obtain the nonpublic information, the respondent shall be notified in writing at the respondent's last known designated mailing address as shown by Bar records of that information which has been requested and by whom, together with a copy of the information proposed to be released. The notice shall advise the respondent that the information shall be released at the end of 21 days following mailing of the notice unless the respondent objects to the disclosure. If the respondent timely objects to the disclosure, the information shall remain confidential unless the requesting party obtains a court order authorizing its release.~~

~~(g) Release without notice. If a requesting party as outlined in paragraph (e)(2) has not obtained an express written waiver from the respondent to obtain nonpublic~~

1 ~~information, and requests that the information be released without giving notice to the~~
2 ~~respondent, the requesting party shall certify that:~~

3 ~~(g)(1) the request is made in furtherance of an ongoing investigation into~~
4 ~~misconduct by the respondent;~~

5 ~~(g)(2) the information is essential to that investigation; and~~

6 ~~(g)(3) disclosure of the existence of the investigation to the respondent would~~
7 ~~seriously prejudice that investigation.~~

8 ~~(h) OPC counsel can disclose nonpublic information without notice to the respondent if:~~

9 ~~(h)(1) disclosure is made in furtherance of an ongoing OPC investigation into~~
10 ~~misconduct by the respondent; and~~

11 ~~(h)(2) the information that is sought through disclosure is essential to that~~
12 ~~investigation.~~

13 ~~(i) Duty of participants. All participants in a proceeding under these rules shall conduct~~
14 ~~themselves so as to maintain confidentiality. Except as authorized by other statutes or~~
15 ~~rules, persons receiving private records under paragraph (c) will not provide access to~~
16 ~~the records to anyone else.~~

~~Rule 15-516. Dissemination of disciplinary information.~~

~~(a) Notice to disciplinary agencies. The OPC shall transmit notice of public discipline, resignation with discipline pending, transfers to or from disability status, reinstatements, relicensures, and certified copies of judgments of conviction to the disciplinary enforcement agency of every other jurisdiction in which the respondent is admitted or licensed.~~

~~(b) Notice to the public. The executive director shall cause notices of admonition, public reprimand, suspension, delicensure, resignation with discipline pending, transfer to disability status and petitions for reinstatement or relicensure to be published in the Utah Bar Journal. The executive director also shall cause notices of suspension, delicensure, resignation with discipline pending, transfer to disability status and petitions for reinstatement or relicensure to be published in a newspaper of general circulation in each judicial district within Utah in which the respondent maintained an office for the practice of law as a licensed paralegal practitioner.~~

~~(c) Notice to the courts. The executive director shall promptly cause transmittal of notices of suspension, delicensure, resignation with discipline pending, transfer to or from disability status, reinstatement or relicensure to all state courts in Utah.~~

~~Rule 15-517. Additional rules of procedure.~~

~~(a) Governing rules. Except as otherwise provided in this article, the Utah Rules of Civil Procedure, the Utah Rules of Appellate Procedure governing civil appeals, and the Utah Rules of Evidence apply in formal discipline actions and disability actions.~~

~~(b) Standard of proof. Formal complaints of misconduct, petitions for reinstatement and relicensure, and petitions for transfer to and from disability status shall be established by a preponderance of the evidence. Motions for interim suspension pursuant to Rule 15-518 shall be established by clear and convincing evidence.~~

~~(c) Burden of proof. The burden of proof in proceedings seeking discipline or transfer to disability status is on the OPC. The burden of proof in proceedings seeking a reversal of a screening panel recommendation of discipline, or seeking reinstatement, relicensure, or transfer from disability status is on the respondent.~~

~~(d) Related pending litigation. Upon a showing of good cause, a formal action or a disability proceeding may be stayed because of substantial similarity to the material allegations of a pending criminal, civil, or disciplinary action.~~

~~(e) The complainant's actions. Neither unwillingness of the complainant to prosecute an informal or formal complaint, nor settlement or compromise between the complainant and the respondent, nor restitution by the respondent shall, in and of itself, justify abatement of disciplinary proceedings.~~

~~Rule 15-518. Interim suspension for threat of harm.~~

~~(a) Transmittal of evidence. Upon receipt of sufficient evidence demonstrating that a licensed paralegal practitioner subject to the disciplinary jurisdiction of the Supreme Court poses a substantial threat of irreparable harm to the public and has either committed a violation of the Rules of Professional Conduct or is under a disability as herein defined, OPC counsel shall file a petition for interim suspension in the district court and give notice in accordance with Utah Rule of Civil Procedure 65A. An action is commenced under this rule when the petition for interim suspension is filed.~~

~~(b) Immediate interim suspension. After conducting a hearing on the petition, the district court may enter an order immediately suspending the respondent pending final disposition of a disciplinary proceeding predicated upon the conduct causing the harm, or may order such other action as deemed appropriate. If an order is entered:~~

~~(b)(1) the district court may appoint a trustee, pursuant to Rule 15-527, to protect the interests of the respondent's clients; and~~

~~(b)(2) the OPC may file a formal complaint in the district court without presenting the matter to a screening panel.~~

~~(c) Notice to clients. A respondent suspended pursuant to paragraph (b) shall comply with the notice requirements in Rule 15-526 as ordered by the district court.~~

~~(d) Motion for dissolution of interim suspension. On two days' notice to OPC counsel, a respondent suspended pursuant to paragraph (b) may appear and move for dissolution or modification of the order of suspension, and in that event, the motion shall be heard and determined as expeditiously as the ends of justice require.~~

Rule 15-519. Licensed paralegal practitioners convicted of a crime.

~~(a) Transmittal of judgment of conviction. The court in which a licensed paralegal practitioner is convicted of any felony or any misdemeanor which reflects adversely on the licensed paralegal practitioner's honesty, trustworthiness or fitness as a licensed paralegal practitioner shall, within 30 days after the conviction, transmit a certified copy of the judgment of conviction to OPC counsel.~~

~~(b) Motion for interim suspension. Upon being advised that a licensed paralegal practitioner has been convicted of a crime which reflects adversely on the licensed paralegal practitioner's honesty, trustworthiness or fitness as a licensed paralegal practitioner, OPC counsel shall determine whether the crime warrants interim suspension. Upon a determination that the crime warrants interim suspension, OPC counsel shall file a formal complaint, accompanied by the certified copy of the judgment of conviction, and concurrently file a motion for immediate interim suspension. An action is commenced under this rule when both the petition for interim suspension and the formal complaint are filed. The respondent may assert any jurisdictional deficiency which establishes that the interim suspension may not properly be ordered, such as that the crime does not reflect adversely on the respondent's honesty, trustworthiness or fitness as a licensed paralegal practitioner, or that the respondent is not the individual convicted. The respondent is not entitled to an evidentiary hearing but may request an informal hearing. If an order for interim suspension is not obtained, the formal complaint shall be dismissed and OPC counsel shall process the matter as it does any other information coming to the attention of the OPC.~~

~~(c) Imposition. The district court shall place a respondent on interim suspension upon proof that the respondent has been convicted of a crime which reflects adversely on the respondent's honesty, trustworthiness or fitness as a licensed paralegal practitioner regardless of the pendency of any appeal.~~

~~(d) Dissolution of interim suspension. Interim suspension may be dissolved as provided in Rule 15-518(d).~~

~~(e) Conviction as conclusive evidence. Except as provided in paragraph (b), a certified copy of a judgment of conviction constitutes conclusive evidence that the respondent committed the crime.~~

~~(f) Automatic reinstatement from interim suspension upon reversal of conviction. If a respondent suspended solely under the provisions of paragraph (c) demonstrates that the underlying conviction has been reversed or vacated, the order for interim suspension shall be vacated and the respondent placed on active status. The vacating of the interim suspension shall not automatically terminate any disciplinary proceeding then pending against the respondent, the disposition of which shall be determined on the basis of the available evidence other than conviction.~~

~~(g) Notice to clients and other of interim suspension. An interim suspension under this rule shall constitute a suspension of the respondent for the purpose of Rule 15-526.~~

~~Rule 15-520. Discipline by consent.~~

~~(a) Discipline by consent prior to filing of formal complaint. A respondent against whom an informal complaint has been filed may, prior to the filing of a formal complaint, tender a proposal for discipline by consent, including a conditional admission to the informal complaint or portions thereof in exchange for a disciplinary sanction and final disposition of the informal complaint. The proposal shall include a waiver of right to a screening panel hearing. The proposal shall be submitted to OPC counsel who shall forward the proposal to the Committee chair with a recommendation in favor of or opposed to the proposal and a statement of the basis for such recommendation. If the proposal is approved by the Committee chair, the sanction shall be imposed as provided in this rule. If the proposal is rejected by the Committee chair, the proposal and admission shall be withdrawn and cannot be used against the respondent in subsequent proceedings.~~

~~(b) Discipline by consent after filing of formal complaint. A respondent against whom a formal complaint has been filed may tender a conditional admission to the formal complaint or to a particular count thereof in exchange for a stated form of discipline and final disposition of the formal complaint. The proposal shall be submitted to OPC counsel, who shall then forward the proposal to the district court with a recommendation favoring or opposing the proposal and a statement of the basis for such recommendation. The district court shall either approve or reject the proposal. If the district court approves the proposal and the stated form of discipline includes public discipline, it shall enter the appropriate disciplinary order as provided in paragraph (d). If the district court rejects the proposal, the proposal and conditional admission shall be withdrawn and cannot be used against the respondent in subsequent proceedings.~~

~~(c) Order of discipline by consent. The final order of discipline by consent shall be predicated upon:~~

~~(c)(1) the informal complaint and any NOIC if no formal complaint has been filed;~~

~~(c)(2) the formal complaint, if filed;~~

~~(c)(3) the approved proposal for discipline by consent; and~~

~~(c)(4) an affidavit of consent by the respondent to be disciplined.~~

~~(d) Affidavit of consent. A respondent whose proposal for discipline by consent has been approved as provided in this rule, shall submit an affidavit to the Committee chair or the district court as appropriate, consenting to the imposition of the approved disciplinary sanction and affirming that:~~

~~(d)(1) the consent is freely and voluntarily entered;~~

~~(d)(2) the respondent is not acting under coercion or duress;~~

~~(d)(3) the respondent is fully aware of the implications of submitting the consent;~~

~~(d)(4) the respondent is aware that there is presently pending an investigation into, or proceeding involving, allegations that there exist grounds for discipline, the nature of which shall be specifically set forth;~~

~~(d)(5) for purposes of disciplinary proceedings, the respondent acknowledges that the material facts so alleged are true; and~~

~~(d)(6) the respondent submits consent because the respondent knows that if an informal or formal complaint were predicated upon the matters under investigation were filed, or the pending formal charges were prosecuted, the respondent could not successfully defend against the charges upon which the discipline is based.~~

1 | ~~Rule 15-521. Reserved.~~

~~Rule 15-522. Reciprocal discipline.~~

~~(a) Duty to notify OPC counsel of discipline. Upon being publicly disciplined by another court, another jurisdiction, or a regulatory body having disciplinary jurisdiction, a licensed paralegal practitioner licensed to practice in Utah shall within 30 days inform the OPC of the discipline. Upon notification from any source that a licensed paralegal practitioner within the jurisdiction of the Supreme Court has been publicly disciplined by another court, another jurisdiction, or a regulatory body having disciplinary jurisdiction, OPC counsel shall obtain a certified copy of the disciplinary order.~~

~~(b) Notice served upon licensed paralegal practitioner. Upon receipt of a certified copy of an order demonstrating that a licensed paralegal practitioner licensed to practice in Utah has been publicly disciplined by another court, another jurisdiction, or a regulatory body having disciplinary jurisdiction, OPC counsel shall issue a notice directed to the licensed paralegal practitioner containing:~~

~~(b)(1) a copy of the order from the other court, jurisdiction or regulatory body; and~~

~~(b)(2) a notice giving the licensed paralegal practitioner the right to inform OPC counsel, within 30 days from service of the notice, of any claim by the licensed paralegal practitioner predicated upon the grounds set forth in paragraph (d), that the imposition of the equivalent discipline in Utah would be unwarranted, and stating the reasons for that claim.~~

~~(c) Effect of stay of discipline in other jurisdiction. If the discipline imposed in the other court, jurisdiction or regulatory body has been stayed, any reciprocal discipline imposed in Utah shall be deferred until the stay expires.~~

~~(d) Discipline to be imposed. Upon the expiration of 30 days from service of the notice pursuant to paragraph (b), the district court shall take such action as may be appropriate to cause the equivalent discipline to be imposed in this jurisdiction, unless~~

1 ~~it clearly appears upon the face of the record from which the discipline is predicated~~
2 ~~that:~~

3 ~~(d)(1) the procedure was so lacking in notice or opportunity to be heard as to~~
4 ~~constitute a deprivation of due process;~~

5 ~~(d)(2) the imposition of equivalent discipline would result in grave injustice; or~~

6 ~~(d)(3) the misconduct established warrants substantially different discipline in~~
7 ~~Utah or is not misconduct in this jurisdiction.~~

8 ~~If the district court determines that any of these elements exist, it shall enter such other~~
9 ~~order as it deems appropriate. The burden is on the respondent to demonstrate that the~~
10 ~~imposition of equivalent discipline is not appropriate.~~

11 ~~(e) Conclusiveness of adjudication in other jurisdictions. Except as provided in~~
12 ~~paragraphs (c) and (d) above, a final adjudication of the other court, jurisdiction or~~
13 ~~regulatory body that a respondent has been guilty of misconduct shall establish~~
14 ~~conclusively the misconduct for purposes of a disciplinary proceeding in Utah.~~

~~Rule 15-523. Proceedings in which licensed paralegal practitioner is declared to be incompetent or alleged to be incapacitated.~~

~~(a) Involuntary commitment or adjudication of incompetency. If a licensed paralegal practitioner has been judicially declared incompetent or is involuntarily committed on the grounds of incompetency, OPC counsel, upon proper proof of the fact, shall file a petition with the district court for the immediate transfer of the licensed paralegal practitioner to disability status for an indefinite period until further order of the district court. A copy of the order shall be served by OPC counsel upon the licensed paralegal practitioner or the licensed paralegal practitioner's guardian or, if no guardian or legal representative has been appointed, upon the director of the institution to which the licensed paralegal practitioner has been committed.~~

~~(b) Inability to properly defend. If a licensed paralegal practitioner alleges in the course of a disciplinary proceeding an inability to assist in the defense due to mental or physical incapacity, the district court shall immediately transfer the licensed paralegal practitioner to disability status pending determination of the incapacity.~~

~~(b)(1) If the district court determines the claim of inability to defend is valid, the disciplinary proceeding shall be deferred and the licensed paralegal practitioner retained on disability status until the district court subsequently considers a petition for transfer of the licensed paralegal practitioner to active status. If the district court considering the petition for transfer to active status determines the petition should be granted, the interrupted disciplinary proceedings may resume.~~

~~(b)(2) If the district court determines the claim of incapacity to defend to be invalid, the disciplinary proceeding shall resume.~~

~~(c) Proceedings to determine incapacity. Information relating to a licensed paralegal practitioner's physical or mental condition which adversely affects the licensed paralegal practitioner's ability to practice law as a licensed paralegal practitioner shall be investigated, and if warranted, shall be the subject of formal proceedings to~~

1 ~~determine whether the licensed paralegal practitioner shall be transferred to disability~~
2 ~~status. Hearings shall be conducted in the same manner as disciplinary proceedings,~~
3 ~~except that all of the proceedings shall be confidential. The district court shall provide~~
4 ~~for such notice to the licensed paralegal practitioner of proceedings in the matter as it~~
5 ~~deems proper and advisable and may appoint counsel to represent the licensed~~
6 ~~paralegal practitioner if the licensed paralegal practitioner is without adequate~~
7 ~~representation. The district court may take or direct whatever action it deems necessary~~
8 ~~or proper to determine whether the licensed paralegal practitioner is so incapacitated,~~
9 ~~including the examination of the licensed paralegal practitioner by qualified experts~~
10 ~~designated by the district court. If, upon due consideration of the matter, the district~~
11 ~~court concludes that the licensed paralegal practitioner is incapacitated from continuing~~
12 ~~to practice law as a licensed paralegal practitioner, it shall enter an order transferring~~
13 ~~the licensed paralegal practitioner to disability status for an indefinite period and until~~
14 ~~the further order of the district court. Any pending disciplinary proceedings against the~~
15 ~~licensed paralegal practitioner shall be held in abeyance.~~

16 ~~(d) Reinstatement from disability status:~~

17 ~~(d)(1) Court order. No licensed paralegal practitioner transferred to disability~~
18 ~~status may resume active status except by order of the district court.~~

19 ~~(d)(2) Petition. Any licensed paralegal practitioner transferred to disability status~~
20 ~~shall be entitled to petition for transfer to active status once a year, or at~~
21 ~~whatever shorter intervals the district court may direct in the order transferring~~
22 ~~the licensed paralegal practitioner to disability status or any modifications~~
23 ~~thereof.~~

24 ~~(d)(3) Examination. Upon the filing of a petition for transfer to active status, the~~
25 ~~district court may take or direct whatever action it deems necessary or proper to~~
26 ~~determine whether the disability has been removed, including a direction for an~~
27 ~~examination of the licensed paralegal practitioner by qualified experts~~

1 designated by the district court. In its discretion, the district court may direct that
2 the expense of the examination be paid by the licensed paralegal practitioner.

3 ~~(d)(4) Waiver of privilege. With the filing of a petition for reinstatement to active~~
4 ~~status, the licensed paralegal practitioner shall be required to disclose the name~~
5 ~~of each psychiatrist, psychologist, physician or other health care provider and~~
6 ~~hospital or other institution by whom or in which the licensed paralegal~~
7 ~~practitioner has been examined or treated related to the disability since the~~
8 ~~transfer to disability status. The licensed paralegal practitioner shall furnish~~
9 ~~written consent to each listed provider to divulge information and records~~
10 ~~relating to the disability if requested by the district court or district court's~~
11 ~~appointed experts.~~

12 ~~(d)(5) Learning in law; Licensed Paralegal Practitioner Examination. The district~~
13 ~~court may also direct that the licensed paralegal practitioner establish proof of~~
14 ~~competence and learning in law, which proof may include certification by the~~
15 ~~Bar of successful completion of an examination for licensure to practice as a~~
16 ~~licensed paralegal practitioner.~~

17 ~~(d)(6) Granting petition for transfer to active status. The district court shall grant~~
18 ~~the petition for transfer to active status upon a showing by clear and convincing~~
19 ~~evidence that the disability has been removed.~~

20 ~~(d)(7) Judicial declaration of competence. If a licensed paralegal practitioner~~
21 ~~transferred to disability status on the basis of a judicial determination of~~
22 ~~incompetence is subsequently judicially declared to be competent, the district~~
23 ~~court may dispense with further evidence that the licensed paralegal~~
24 ~~practitioner's disability has been removed and may immediately order the~~
25 ~~licensed paralegal practitioner's reinstatement to active status upon terms as are~~
26 ~~deemed proper and advisable.~~

~~Rule 15-524. Reinstatement following a suspension of six months or less.~~

~~A respondent who has been suspended for six months or less pursuant to disciplinary proceedings shall be reinstated at the end of the period of suspension upon filing with the district court and serving upon OPC counsel an affidavit stating that the respondent has fully complied with the requirements of the suspension order and that the respondent has fully reimbursed the Bar's Licensed Paralegal Practitioners' Fund for Client Protection for any amounts paid on account of the respondent's conduct. Within ten days, OPC counsel may file an objection and thereafter the district court shall conduct a hearing.~~

~~Rule 15-525. Reinstatement following a suspension of more than six months; relicensure.~~

~~(a) Generally. A respondent suspended for more than six months or a delicensed respondent shall be reinstated or relicensed only upon order of the district court. No respondent may petition for reinstatement until three months before the period for suspension has expired. No respondent may petition for relicensure until five years after the effective date of delicensure. A respondent who has been placed on interim suspension and is then delicensed for the same misconduct that was the ground for the interim suspension may petition for relicensure at the expiration of five years from the effective date of the interim suspension.~~

~~(b) Petition. A petition for reinstatement or relicensure shall be verified, filed with the district court, and shall specify with particularity the manner in which the respondent meets each of the criteria specified in paragraph (c) or, if not, why there is otherwise good and sufficient reason for reinstatement or relicensure. With specific reference to paragraph (c)(4), prior to the filing of a petition for relicensure, the respondent must receive a report and recommendation from the Bar's Character and Fitness Committee. In addition to receiving the report and recommendation from the Character and Fitness Committee, the respondent must satisfy all other requirements as set forth in Article 7, Admissions. Prior to or as part of the respondent's petition, the respondent may request modification or abatement of conditions of discipline, reinstatement or relicensure.~~

~~(c) Service of petition. The respondent shall serve a copy of the petition upon OPC counsel.~~

~~(d) Publication of notice of petition. At the time a respondent files a petition for reinstatement or relicensure, OPC counsel shall publish a notice of the petition in the Utah Bar Journal. The notice shall inform members of the Bar about the application for reinstatement or relicensure, and shall request that any individuals file notice of their opposition or concurrence with the district court within 30 days of the date of publication. In addition, OPC counsel shall notify each complainant in the disciplinary~~

1 ~~proceeding that led to the respondent's suspension or delicensure that the respondent is~~
2 ~~applying for reinstatement or relicensure, and shall inform each complainant that the~~
3 ~~complainant has 30 days from the date of mailing to raise objections to or to support the~~
4 ~~respondent's petition. Notice shall be mailed to the last known address of each~~
5 ~~complainant in OPC counsel's records.~~

6 ~~(e) Criteria for reinstatement and relicensure. A respondent may be reinstated or~~
7 ~~relicensed only if the respondent meets each of the following criteria, or, if not, presents~~
8 ~~good and sufficient reason why the respondent should nevertheless be reinstated or~~
9 ~~relicensed.~~

10 ~~(e)(1) The respondent has fully complied with the terms and conditions of all~~
11 ~~prior disciplinary orders except to the extent they are abated by the district court.~~

12 ~~(e)(2) The respondent has not engaged nor attempted to engage in the~~
13 ~~unauthorized practice of law during the period of suspension or delicensure.~~

14 ~~(e)(3) If the respondent was suffering from a physical or mental disability or~~
15 ~~impairment which was a causative factor of the respondent's misconduct,~~
16 ~~including substance abuse, the disability or impairment has been removed.~~
17 ~~Where substance abuse was a causative factor in the respondent's misconduct,~~
18 ~~the respondent shall not be reinstated or relicensed unless:~~

19 ~~(e)(3)(A) the respondent has recovered from the substance abuse as~~
20 ~~demonstrated by a meaningful and sustained period of successful~~
21 ~~rehabilitation;~~

22 ~~(e)(3)(B) the respondent has abstained from the use of the abused~~
23 ~~substance and the unlawful use of controlled substances for the preceding~~
24 ~~six months; and~~

25 ~~(e)(3)(C) the respondent is likely to continue to abstain from the substance~~
26 ~~abused and the unlawful use of controlled substances.~~

~~(e)(4) Notwithstanding the conduct for which the respondent was disciplined, the respondent has the requisite honesty and integrity to practice law as a licensed paralegal practitioner. In relicensure cases, the respondent must appear before the Bar's Character and Fitness Committee and cooperate in its investigation of the respondent. A copy of the Character and Fitness Committee's report and recommendation shall be provided to the OPC and forwarded to the district court assigned to the petition after the respondent files a petition.~~

~~(e)(5) The respondent has kept informed about recent developments in the law and is competent to practice as a licensed paralegal practitioner.~~

~~(e)(6) In cases of suspensions for one year or more, the respondent shall be required to pass the Licensed Paralegal Practitioner Professional Responsibility Exam.~~

~~(e)(7) In all cases of delicensure, the respondent shall be required to pass the student applicant Licensed Paralegal Practitioner Licensing Exam.~~

~~(e)(8) The respondent has fully reimbursed the Bar's Licensed Paralegal Practitioners' Fund for Client Protection for any amounts paid on account of the respondent's conduct.~~

~~(f) Review of petition. Within 60 days after receiving a respondent's petition for reinstatement or relicensure, OPC counsel shall either:~~

~~(f)(1) advise the respondent and the district court that OPC counsel will not object to the respondent's reinstatement or relicensure; or~~

~~(f)(2) file a written objection to the petition.~~

~~(g) Hearing; report. If an objection is filed by OPC counsel, the district court, as soon as reasonably practicable and within a target date of 90 days of the filing of the petition, shall conduct a hearing at which the respondent shall have the burden of demonstrating by a preponderance of the evidence that the respondent has met each of the criteria in paragraph (e) or, if not, that there is good and sufficient reason why the respondent~~

1 ~~should nevertheless be reinstated or relicensed. The district court shall enter its findings~~
2 ~~and order. If no objection is filed by OPC counsel, the district court shall review the~~
3 ~~petition without a hearing and enter its findings and order.~~

4 ~~(h) Successive petitions. Unless otherwise ordered by the district court, no respondent~~
5 ~~shall apply for reinstatement or relicensure within one year following an adverse~~
6 ~~judgment upon a petition for reinstatement or relicensure.~~

7 ~~(i) Conditions of reinstatement or relicensure. The district court may impose conditions~~
8 ~~on a respondent's reinstatement or relicensure if the respondent has met the burden of~~
9 ~~proof justifying reinstatement or relicensure, but the district court reasonably believes~~
10 ~~that further precautions should be taken to ensure that the public will be protected~~
11 ~~upon the respondent's return to practice.~~

12 ~~(j) Reciprocal reinstatement or relicensure. If a respondent has been suspended or~~
13 ~~delicensed solely on the basis of discipline imposed by another court, another~~
14 ~~jurisdiction, or a regulatory body having disciplinary jurisdiction, and if the respondent~~
15 ~~is later reinstated or relicensed by that court, jurisdiction or regulatory body, the~~
16 ~~respondent may petition for reciprocal reinstatement or relicensure in Utah. The~~
17 ~~respondent shall file with the district court and serve upon OPC counsel a petition for~~
18 ~~reciprocal reinstatement or relicensure, as the case may be. The petition shall include a~~
19 ~~certified or otherwise authenticated copy of the order of reinstatement~~
20 ~~or relicensure from the other court, jurisdiction or regulatory body. Within 20 days of~~
21 ~~service of the petition, OPC counsel may file an objection thereto based solely upon~~
22 ~~substantial procedural irregularities. If an objection is filed, the district court shall hold~~
23 ~~a hearing and enter its finding and order. If no objection is filed, the district court shall~~
24 ~~enter its order based upon the petition.~~

~~Rule 15-526. Notice of disability or suspension; return of clients' property; refund of unearned fees.~~

~~(a) Effective date of order; winding up affairs. Each order that imposes delicensure or suspension is effective 30 days after the date of the order, or at such other time as the order provides. Each order that transfers a respondent to disability status is effective immediately upon the date of the order, unless the order otherwise provides. After the entry of any order of delicensure, suspension, or transfer to disability status, the respondent shall not accept any new retainer or employment as a licensed paralegal practitioner in any new case or legal matter; provided, however, that during any period between the date of entry of an order and its effective date, the respondent may, with the consent of the client after full disclosure, wind up or complete any matters pending on the date of entry of the order.~~

~~(b) Notice to clients and others. In every case in which a respondent is delicensed or suspended for more than six months, the respondent shall, within 20 days of the entry of the order, accomplish the following acts:~~

~~(b)(1) notify each client (and any other licensed paralegal practitioner or lawyer assisting the client) in every pending legal matter, litigation and non litigation, that the respondent has been delicensed or suspended from the practice of law and is disqualified from further participation in the matter;~~

~~(b)(2) notify each client that, in the absence of co-counsel, the client should obtain a new licensed paralegal practitioner or lawyer, calling attention to the urgency to seek new assistance, particularly in pending litigation;~~

~~(b)(3) deliver to every client any papers or other property to which the client is entitled or, if delivery cannot reasonably be made, make arrangements satisfactory to the client of a reasonable time and place where papers and other property may be obtained, calling attention to any urgency to obtain the same;~~

~~(b)(4) refund any part of any fee paid in advance that has not been earned as of the effective date of the discipline;~~

~~(b)(5) in each matter pending before a court, agency or tribunal, notify opposing counsel or, in the absence of counsel, the adverse party, of the respondent's delicensure or suspension and consequent disqualification to further participate as a licensed paralegal practitioner in the matter;~~

~~(b)(6) file with the court, agency or tribunal before which any matter is pending a copy of the notice given to opposing counsel or to an adverse party; and~~

~~(b)(7) within ten days after the effective date of delicensure or suspension, file an affidavit with OPC counsel showing complete performance of the foregoing requirements of this rule. The respondent shall keep and maintain for inspection by OPC counsel all records of the steps taken to accomplish the requirements of this rule.~~

~~(c) Other notice. If a respondent is suspended for six months or less, the district court may impose conditions similar to those set out in paragraph (b). In any public disciplinary matter, the district court may also require the issuance of notice to others as it deems necessary to protect the interests of clients or the public.~~

~~(d) Compliance. Substantial compliance with the provisions of paragraphs (a), (b) and (c) shall be a precondition for reinstatement or relicensure. Willful failure to comply with paragraphs (a), (b) and (c) shall constitute contempt of court and may be punished as such or by further disciplinary action.~~

~~Rule 15-527. Appointment of trustee to protect clients' interest when a licensed paralegal practitioner disappears, dies, is suspended or delicensed, or is transferred to disability status.~~

~~(a) Protective appointment of trustee. If a licensed paralegal practitioner has disappeared or died, or if a respondent has been suspended or delicensed or transferred to disability status, and if there is evidence that the licensed paralegal practitioner or respondent has not complied with the provisions of Rule 15-526 and no partner, executor, or other responsible party capable of conducting the licensed paralegal practitioner's or respondent's affairs is known to exist, a district judge of the judicial district in which the licensed paralegal practitioner or respondent maintained a principal office, upon the request of OPC counsel, may appoint a trustee to inventory the licensed paralegal practitioner's or respondent's files, notify the licensed paralegal practitioner's or respondent's clients, distribute the files to the clients, return unearned fees and other funds, and take any additional action authorized by the judge making the appointment.~~

~~(b) Confidentiality. No attorney-client relationship exists between the client and the trustee except to the extent necessary to maintain and preserve the confidentiality of the client. The trustee shall not disclose any information contained in the files so inventoried without the consent of the client to whom such files relate, except as necessary to carry out the order of the court making the appointment.~~

~~(c) Immunity. Any person appointed as a trustee shall have the immunity granted by Rule 15-513.~~

- 1 ~~Rule 15-528. Appeal by complainant.~~
- 2 ~~The complainant shall not have a right of appeal, except as provided in Rule 15-~~
- 3 ~~510(a)(7) to appeal a dismissal of an informal complaint.~~

1 ~~Rule 15-529. Statute of limitations.~~

2 ~~Proceedings under this article shall be commenced within four years of the discovery of~~
3 ~~the acts allegedly constituting a violation of the Licensed Paralegal Practitioner Rules of~~
4 ~~Professional Conduct.~~

~~Rule 15-530. Costs.~~

~~(a) Assessment. The prevailing party in a proceeding on a formal complaint may be awarded judgment for costs in accordance with Rule 54(d) of the Utah Rules of Civil Procedure.~~

~~(b) Offer of discipline by consent. OPC counsel shall not be deemed to have prevailed on any count in the formal complaint unless the sanction imposed exceeds any sanction to which the respondent conditionally consented under Rule 15-520(b) prior to the hearing.~~

~~(c) Disability cases. Costs shall not be awarded in disability cases except pursuant to paragraph (d).~~

~~(d) Trusteeship. Court appointed trustees, including cases in which OPC is appointed the trustee, may collect costs for notification to the respondent's clients, including charges for copying, postage, publication and fees from money collected.~~

~~Rule 15-531. Noncompliance with child support order, child visitation order,
subpoena or order relating to paternity or child support proceeding.~~

~~(a) Upon entry of an order holding a licensed paralegal practitioner in contempt for the
licensed paralegal practitioner's noncompliance with a child support order, child
visitation order, or a subpoena or order relating to a paternity or child support
proceeding, a district court may suspend the licensed paralegal practitioner's license to
engage in the practice of law consistent with applicable law and, if suspended, shall
also impose conditions of reinstatement.~~

~~(b) If a district court suspends a licensed paralegal practitioner's license to engage in the
practice of law, the court shall provide a copy of the order to the OPC.~~

~~Rule 15-532. Failure to answer charges.~~

~~(a) Failure to answer. If having received actual notice of the charges filed, the respondent fails to answer the charges within 20 days, the respondent shall be deemed to have admitted the factual allegations.~~

~~(b) Failure to appear. If the respondent, having been ordered by the Committee to appear and having received actual notice of that order, fails to appear, the respondent shall have been deemed to have admitted the factual allegations which were the subject of such appearance. The Committee shall not, absent good cause, continue or delay proceedings because of the respondent's failure to appear.~~

~~(c) Notice of consequences. Any notice within the scope of paragraph (a) or (b) above shall expressly state the consequences, as specified above, of the respondent's failure to answer or appear.~~

~~Rule 15-533. Diversion.~~

~~(a) Referral to diversion. In a matter involving less serious misconduct as outlined in subsection (c), upon receipt of an informal complaint and before filing a formal complaint, the respondent may have the option of electing to have the matter referred to diversion, the appropriateness of which will be determined by the chair of the Diversion Committee after consultation with OPC. The option for diversion also may be initiated by OPC or the Ethics and Discipline Committee screening panel. Diversion may require the participation of the respondent in one or more of the following:~~

~~(a)(1) fee arbitration;~~

~~(a)(2) mediation;~~

~~(a)(3) law office management assistance;~~

~~(a)(4) lawyer or licensed paralegal practitioner assistance programs;~~

~~(a)(3) law office management assistance;~~

~~(a)(4) licensed paralegal practitioner assistance programs;~~

~~(a)(5) psychological and behavioral counseling;~~

~~(a)(6) monitoring;~~

~~(a)(7) restitution;~~

~~(a)(8) continuing legal education programs including, but not limited to, ethics school; or~~

~~(a)(9) any other program or corrective course of action to address the respondent's conduct.~~

~~(b) Diversion Committee.~~

~~(b)(1) With regard to a licensed paralegal practitioner, the Diversion Committee in Lawyer Rule 15-533 shall operate under the provisions of this Rule.~~

~~(b)(2) Authority and responsibility. The Diversion Committee may negotiate and execute diversion contracts, assign monitoring to a lawyer or limited paralegal practitioner assistance program, determine compliance with the terms of diversion contracts, and determine fulfillment or any material breach of diversion contracts, subject to review under subsection (j)(3) of this rule, and adopt such policies and procedures as may be appropriate to accomplish its duties under this rule. The Diversion Committee shall have authority to establish subcommittees of volunteer attorneys and other professionals for the specific purpose of monitoring the compliance of any limited paralegal practitioner under diversion and reporting compliance to OPC and the Diversion Committee on a regular basis.~~

~~(c) Less serious misconduct. Conduct which would result in a suspension or delicensure is not considered to be less serious misconduct. Conduct is not ordinarily considered less serious misconduct if any of the following considerations apply:~~

~~(c)(1) the misconduct involves the misappropriation of client funds;~~

~~(c)(2) the misconduct results in or is likely to result in substantial prejudice to a client or other person, absent adequate provisions for restitution;~~

~~(c)(3) the respondent has been sanctioned in the last three years;~~

~~(c)(4) the misconduct is of the same nature as misconduct for which the respondent has been sanctioned in the last three years;~~

~~(c)(5) the misconduct involves dishonesty, deceit, fraud, or misrepresentation;~~

~~(c)(6) the misconduct constitutes a substantial threat of irreparable harm to the public; a felony; or a misdemeanor which reflects adversely on the respondent's honesty, trustworthiness or fitness as a limited paralegal practitioner; or~~

~~(c)(7) the misconduct is part of a pattern of similar misconduct.~~

~~(d) Factors for consideration. The Diversion Committee considers the following factors in negotiating and executing the diversion contract:~~

~~(d)(1) whether the presumptive sanction that would be imposed, in the opinion of OPC or the Diversion Committee, is likely to be no more severe than a public reprimand or private admonition;~~

~~(d)(2) whether participation in diversion is likely to improve the respondent's future professional conduct and accomplish the goals of legal paralegal practitioner discipline;~~

~~(d)(3) whether aggravating or mitigating factors exist; and~~

~~(d)(4) whether diversion was already tried.~~

~~(e) Notice to complainant. The OPC will notify the complainant, if any, of the proposed decision to refer the respondent to diversion, and the complainant may submit written comments. The complainant will be notified when the complaint is diverted and when the complaint is dismissed. All notices will be sent to the complainant's address of record on file with the OPC. Such decision to divert or dismiss is not appealable.~~

~~(f) Diversion contract.~~

~~(f)(1) If the respondent agrees or elects to participate in diversion as provided by this rule, the terms of the diversion shall be set forth in a written contract. If the contract is entered prior to a hearing of a screening panel of the Ethics and Discipline Committee pursuant to Rule 15-510(b), the contract shall be between the respondent and OPC. If diversion is agreed to and entered after a screening panel of the Ethics and Discipline Committee has convened pursuant to Rule 15-510(b), the contract shall be made as part of the decision of that screening panel. OPC will memorialize the contract and decision. If diversion is agreed to and entered after a complaint has been filed pursuant to Rule 15-512, the diversion contract shall be made as part of the ruling and order of the Court. Except as otherwise part of an order of a court, the Diversion Committee shall monitor and~~

1 supervise the conditions of diversion and the terms of the diversion contract. The
2 contract shall specify the program(s) to which the legal paralegal practitioner
3 shall be diverted, the general purpose of the diversion, the manner in which
4 compliance is to be monitored, and any requirement for payment of restitution
5 or cost. The respondent licensed paralegal practitioner shall bear the burden of
6 drafting and submitting the proposed diversion contract. Respondent may utilize
7 counsel to assist in the negotiation phase of diversion. Respondent may also
8 utilize Bar benefits programs provided by the Bar, such as a lawyer or licensed
9 paralegal practitioner assistance program to assist in developing terms and
10 conditions for the diversion contract appropriate to that respondent's particular
11 situation. Use of a lawyer or licensed paralegal practitioner assistance program to
12 assess appropriate conditions for diversion shall not conflict that entity from
13 providing services under the contract. The terms of each contract shall be
14 specifically tailored to the respondent's individual circumstances. The contract is
15 confidential and its terms shall not be disclosed to other than the parties to the
16 contract.

17 (f)(2) All diversion contracts must contain at least all the following:

18 (f)(2)(A) the signatures of respondent, his or her counsel if any, and the
19 chair of the Diversion Committee;

20 (f)(2)(B) the terms and conditions of the plan for respondent and, the
21 identity, if appropriate, of any service provider, mentor, monitor and/or
22 supervisor and that individual's specific responsibilities. If a professional
23 or service is utilized, and it is necessary to disclose confidential
24 information, respondent must sign a limited conditional waiver of
25 confidentiality permitting the professional or service to make the
26 necessary disclosures in order for the respondent to fulfill his or her duties
27 under the contract;

~~(f)(2)(C) the necessary terms providing for oversight of fulfillment of the contract terms, including provisions for those involved to report any alleged breach of the contract to OPC;~~

~~(f)(2)(D) the necessary terms providing that respondent will pay all costs incurred in connection with the contract and those costs further specified pursuant to subsection (k) and any costs associated with the complaints to be deferred; and~~

~~(f)(2)(E) a specific acknowledgement that a material violation of a contract term renders the respondent's participation in diversion voidable by the chair of the Diversion Committee or his or her designee;~~

~~(f)(3) The contract may be amended on subsequent agreement of respondent and OPC.~~

~~(f)(4) The chair of the Ethics and Discipline Committee and OPC shall be given copies of every diversion contract entered and signed by the respondent and the Diversion Committee chair.~~

~~(g) Affidavit supporting diversion. A diversion contract must be supported by the respondent's or the respondent's lawyer's affidavit or declaration as approved by the Diversion Committee setting forth the purpose for diversion and how the specific terms of the diversion contract will address the allegations raised by the complaint. The respondent is not required to admit to the allegations in the complaint upon entering diversion. However, an admission and/or acknowledgement may be relevant and necessary as part of treatment in diversion. Such an admission shall be confidential for treatment purposes, shall not be released to any third party, and shall not be treated as an admission against interest nor used for future prosecution should diversion fail.~~

~~(h) Status of complaint. After a diversion contract is executed by the respondent, the disciplinary complaint is deferred pending successful completion of the contract.~~

~~(i) Effect of non-participation in diversion. The respondent has the right to decline to participate in diversion. If the respondent chooses not to participate in diversion, the matter proceeds pursuant to the Rules of Limited Paralegal Practitioner Discipline and Disability.~~

~~(j) Termination of diversion:~~

~~(j)(1) Fulfillment of the contract. The contract terminates when the respondent has fulfilled the terms of the contract and gives the Diversion Committee and OPC an affidavit or declaration demonstrating fulfillment. Upon receipt of this affidavit or declaration, the Diversion Committee and OPC must acknowledge receipt and request that the chair of the Ethics and Discipline Committee or his or her designee dismiss any complaint(s) deferred pending successful completion of the contract or notify the respondent that fulfillment of the contract is disputed based on an OPC claim of material breach. The complainant cannot appeal the dismissal. Successful completion of the contract is a bar to any further disciplinary proceedings based on the same allegations and successful completion of diversion shall not constitute a form of discipline.~~

~~(j)(2) Material breach. A material breach of the contract is cause for termination of the contract. After a material breach, OPC must notify the respondent of the alleged breach and intent to terminate the diversion. Thereafter, disciplinary proceedings may be instituted, resumed or reinstated.~~

~~(j)(3) Review by the chair. The Diversion Committee may review disputes regarding the alleged material breach of any term of the contract on the request of the respondent or OPC. The request must be filed with the Diversion Committee chair within 15 days of notice to the respondent of the determination for which review is sought. The respondent is entitled to a hearing before the Diversion Committee on any alleged breach to the diversion contract. Determinations under this section are not subject to further review and are not reviewable in any proceeding.~~

1 ~~(k) Costs. Upon entering diversion, respondent shall pay an initial fee of \$250. During~~
2 ~~diversion, respondent shall pay a fee of \$50 per month. All such fees are payable to the~~
3 ~~Bar's general fund. These fees may be waived upon a hardship request, the validity or~~
4 ~~appropriateness of which shall be determined by the chair of the Diversion Committee~~
5 ~~or his or her designee.~~

~~Article 6. Standards for Imposing Licensed Paralegal Practitioner Sanctions~~

~~Rule 15-601. Definitions.~~

As used in this article:

- ~~(a) "complainant" means the person who files an informal complaint or the OPC when the OPC determines to open an investigation based on information it has received;~~
- ~~(b) "formal complaint" means a complaint filed in the district court alleging misconduct by a licensed paralegal practitioner or seeking the transfer of a licensed paralegal practitioner to disability status;~~
- ~~(c) "informal complaint" means any written, notarized allegation of misconduct by or incapacity of a licensed paralegal practitioner;~~
- ~~(d) "injury" means harm to a client, the public, the legal system, or the profession which results from a licensed paralegal practitioner's misconduct. The level of injury can range from "serious" injury to "little or no" injury; a reference to "injury" alone indicates any level of injury greater than "little or no" injury;~~
- ~~(e) "intent" means the conscious objective or purpose to accomplish a particular result;~~
- ~~(f) "knowledge" means the conscious awareness of the nature or attendant circumstances of the conduct but without the conscious objective or purpose to accomplish a particular result;~~
- ~~(g) "negligence" means the failure of a licensed paralegal practitioner to heed a substantial risk that circumstances exist or that a result will follow, which failure is a deviation from the standard of care that a reasonable licensed paralegal practitioner would exercise in the situation;~~
- ~~(h) "potential injury" means the harm to a client, the public, the legal system or the profession that is reasonably foreseeable at the time of the licensed paralegal practitioner's misconduct, and which, but for some intervening factor or event, would probably have resulted from the licensed paralegal practitioner's misconduct;~~

- 1 ~~(i) "respondent" means a licensed paralegal practitioner subject to the disciplinary~~
- 2 ~~jurisdiction of the Supreme Court against whom an informal or formal complaint has~~
- 3 ~~been filed; and~~
- 4 ~~(j) "Rules of Professional Conduct" means the Utah Licensed Paralegal Practitioner~~
- 5 ~~Rules of Professional Conduct (including the accompanying comments).~~

~~Rule 15-602. Purpose and nature of sanctions.~~

~~(a) Purpose of licensed paralegal practitioner discipline proceedings. The purpose of imposing licensed paralegal practitioner sanctions is to ensure and maintain the high standard of professional conduct required of those who undertake the discharge of professional responsibilities as licensed paralegal practitioners, and to protect the public and the administration of justice from licensed paralegal practitioners who have demonstrated by their conduct that they are unable or likely to be unable to discharge properly their professional responsibilities.~~

~~(b) Public nature of licensed paralegal practitioner discipline proceedings. Ultimate disposition of licensed paralegal practitioner discipline shall be public in cases of delicensure, suspension, and reprimand, and nonpublic in cases of admonition.~~

~~(c) Purpose of these rules. These rules are designed for use in imposing a sanction or sanctions following a determination that a licensed paralegal practitioner has violated a provision of the Licensed Paralegal Practitioner Rules of Professional Conduct. Descriptions in these rules of substantive disciplinary offenses are not intended to create grounds for determining culpability independent of the Licensed Paralegal Practitioner Rules of Professional Conduct. The rules constitute a system for determining sanctions, permitting flexibility and creativity in assigning sanctions in particular cases of licensed paralegal practitioner misconduct. They are designed to promote:~~

~~(c)(1) consideration of all factors relevant to imposing the appropriate level of sanction in an individual case;~~

~~(c)(2) consideration of the appropriate weight of such factors in light of the stated goals of licensed paralegal practitioner discipline; and~~

~~(c)(3) consistency in the imposition of disciplinary sanctions for the same or similar offenses within and among jurisdictions.~~

~~Rule 15-603. Sanctions.~~

~~(a) Scope. A disciplinary sanction is imposed on a licensed paralegal practitioner upon a finding or acknowledgement that the licensed paralegal practitioner has engaged in professional misconduct.~~

~~(b) Delicensure. Delicensure terminates the individual's status as a licensed paralegal practitioner. A licensed paralegal practitioner who has been delicensed may be relicensed as provided in Rule 15-525 of Article 5, Licensed Paralegal Practitioner Discipline and Disability.~~

~~(c) Suspension. Suspension is the removal of a licensed paralegal practitioner from the practice of law as a licensed paralegal practitioner for a specified minimum period of time. Generally, suspension should be imposed for a specific period of time equal to or greater than six months, but in no event should the time period prior to application for reinstatement be more than three years.~~

~~(c)(1) A licensed paralegal practitioner who has been suspended for six months or less may be reinstated as set forth in Rule 15-524 of Article 5, Licensed Paralegal Practitioner Discipline and Disability.~~

~~(c)(2) A licensed paralegal practitioner who has been suspended for more than six months may be reinstated as set forth in Rule 15-525 of Article 5, Licensed Paralegal Practitioner Discipline and Disability.~~

~~(d) Interim suspension. Interim suspension is the temporary suspension of a licensed paralegal practitioner from the practice of law as a licensed paralegal practitioner. Interim suspension may be imposed as set forth in Rules 15-518 and 15-519 of Article 5, Licensed Paralegal Practitioner Discipline and Disability.~~

~~(e) Reprimand. Reprimand is public discipline which declares the conduct of the licensed paralegal practitioner improper, but does not limit the paralegal practitioner's right to practice.~~

~~(f) Admonition. Admonition is nonpublic discipline which declares the conduct of the licensed paralegal practitioner improper, but does not limit the licensed paralegal practitioner's right to practice.~~

~~(g) Probation. Probation is a sanction that allows a licensed paralegal practitioner to practice law as a licensed paralegal practitioner under specified conditions. Probation can be public or nonpublic, can be imposed alone or in conjunction with other sanctions, and can be imposed as a condition of relicensure or reinstatement.~~

~~(h) Resignation with discipline pending. Resignation with discipline pending is a form of public discipline which allows a respondent to resign from the practice of law as a licensed paralegal practitioner while either an informal or formal complaint is pending against the respondent. Resignation with discipline pending may be imposed as set forth in Rule 15-521 of Article 5, Licensed Paralegal Practitioner Discipline and Disability.~~

~~(i) Other sanctions and remedies. Other sanctions and remedies which may be imposed include:~~

~~(i)(1) restitution;~~

~~(i)(2) assessment of costs;~~

~~(i)(3) limitation upon practice;~~

~~(i)(4) appointment of a receiver;~~

~~(i)(5) a requirement that the licensed paralegal practitioner take the licensing examination or the licensed paralegal practitioner professional responsibility examination; and~~

~~(i)(6) a requirement that the licensed paralegal practitioner attend continuing education courses.~~

1 ~~(j) Reciprocal discipline. Reciprocal discipline is the imposition of a disciplinary~~
2 ~~sanction on a licensed paralegal practitioner who has been disciplined in another court,~~
3 ~~another jurisdiction, or a regulatory body having disciplinary jurisdiction.~~

~~Rule 15-604. Factors to be considered in imposing sanctions.~~

~~The following factors should be considered in imposing a sanction after a finding of licensed paralegal practitioner misconduct:~~

~~(a) the duty violated;~~

~~(b) the licensed paralegal practitioner's mental state;~~

~~(c) the potential or actual injury caused by the licensed paralegal practitioner's misconduct; and~~

~~(d) the existence of aggravating or mitigating factors.~~

~~Rule 15-605. Imposition of sanctions.~~

~~Absent aggravating or mitigating circumstances, upon application of the factors set out in Rule 15-604 of this Article, the following sanctions are generally appropriate.~~

~~(a) Delicensure. Delicensure is generally appropriate when a licensed paralegal practitioner:~~

~~(a)(1) knowingly engages in professional misconduct as defined in Rule 8.4(a), (d), (e), or (f) of the Licensed Paralegal Practitioner Rules of Professional Conduct with the intent to benefit the licensed paralegal practitioner or another or to deceive the court, and causes serious or potentially serious injury to a party, the public, or the legal system, or causes serious or potentially serious interference with a legal proceeding; or~~

~~(a)(2) engages in serious criminal conduct, a necessary element of which includes intentional interference with the administration of justice, false swearing, misrepresentation, fraud, extortion, misappropriation, or theft; or the sale, distribution, or importation of controlled substances; or the intentional killing of another; or an attempt or conspiracy or solicitation of another to commit any of these offenses; or~~

~~(a)(3) engages in any other intentional misconduct involving dishonesty, fraud, deceit, or misrepresentation that seriously adversely reflects on the licensed paralegal practitioner's fitness to practice law as a licensed paralegal practitioner.~~

~~(b) Suspension. Suspension is generally appropriate when a licensed paralegal practitioner:~~

~~(b)(1) knowingly engages in professional misconduct as defined in Rule 8.4(a), (d), (e), or (f) of the Licensed Paralegal Practitioner Rules of Professional Conduct and causes injury or potential injury to a party, the public, or the legal system, or causes interference or potential interference with a legal proceeding; or~~

~~(b)(2) engages in criminal conduct that does not contain the elements listed in Rule 15-605(a)(2) but nevertheless seriously adversely reflects on the licensed paralegal practitioner's fitness to practice law as a licensed paralegal practitioner.~~

~~(c) Reprimand. Reprimand is generally appropriate when a licensed paralegal practitioner:~~

~~(c)(1) negligently engages in professional misconduct as defined in Rule 8.4(a), (d), (e), or (f) of the Licensed Paralegal Practitioner Rules of Professional Conduct and causes injury to a party, the public, or the legal system, or causes interference with a legal proceeding; or~~

~~(c)(2) engages in any other misconduct that involves dishonesty, fraud, deceit, or misrepresentation and that adversely reflects on the licensed paralegal practitioner's fitness to practice law as a licensed paralegal practitioner.~~

~~(d) Admonition. Admonition is generally appropriate when a licensed paralegal practitioner:~~

~~(d)(1) negligently engages in professional misconduct as defined in Rule 8.4(a), (d), (e), or (f) of the Licensed Paralegal Practitioner Rules of Professional Conduct and causes little or no injury to a party, the public, or the legal system or interference with a legal proceeding, but exposes a party, the public, or the legal system to potential injury or causes potential interference with a legal proceeding; or~~

~~(d)(2) engages in any professional misconduct not otherwise identified in this rule that adversely reflects on the licensed paralegal practitioner's fitness to practice law as a licensed paralegal practitioner.~~

~~Rule 15-606. Prior discipline orders.~~

~~Absent aggravating or mitigating circumstances, upon application of the factors set out in Rule 15-604 of this Article, the following principles generally apply in cases involving prior discipline.~~

~~(a) The district court or Supreme Court may impose further sanctions upon a licensed paralegal practitioner who violates the terms of a prior disciplinary order.~~

~~(b) When a licensed paralegal practitioner engages in misconduct similar to that for which the licensed paralegal practitioner has previously been disciplined, the appropriate sanction will generally be one level more severe than the sanction the licensed paralegal practitioner previously received, provided that the harm requisite for the higher sanction is present.~~

~~Rule 15-607. Aggravation and mitigation.~~

~~After misconduct has been established, aggravating and mitigating circumstances may be considered and weighed in deciding what sanction to impose.~~

~~(a) Aggravating circumstances. Aggravating circumstances are any considerations or factors that may justify an increase in the degree of discipline to be imposed.~~

~~Aggravating circumstances may include:~~

~~(a)(1) prior record of discipline;~~

~~(a)(2) dishonest or selfish motive;~~

~~(a)(3) a pattern of misconduct;~~

~~(a)(4) multiple offenses;~~

~~(a)(5) obstruction of the disciplinary proceeding by intentionally failing to comply with rules or orders of the disciplinary authority;~~

~~(a)(6) submission of false evidence, false statements, or other deceptive practices during the disciplinary process;~~

~~(a)(7) refusal to acknowledge the wrongful nature of the misconduct involved, either to the client or to the disciplinary authority;~~

~~(a)(8) vulnerability of victim;~~

~~(a)(9) substantial experience in the practice of law;~~

~~(a)(10) lack of good faith effort to make restitution or to rectify the consequences of the misconduct involved; and~~

~~(a)(11) illegal conduct, including the use of controlled substances.~~

~~(b) Mitigating circumstances. Mitigating circumstances are any considerations or factors that may justify a reduction in the degree of discipline to be imposed. Mitigating circumstances may include:~~

~~(b)(1) absence of a prior record of discipline;~~

- ~~(b)(2) absence of a dishonest or selfish motive;~~
- ~~(b)(3) personal or emotional problems;~~
- ~~(b)(4) timely good faith effort to make restitution or to rectify the consequences of the misconduct involved;~~
- ~~(b)(5) full and free disclosure to the client or the disciplinary authority prior to the discovery of any misconduct or cooperative attitude toward proceedings;~~
- ~~(b)(6) inexperience in the practice of law;~~
- ~~(b)(7) good character or reputation;~~
- ~~(b)(8) physical disability;~~
- ~~(b)(9) mental disability or impairment, including substance abuse when:~~
 - ~~(b)(9)(A) the respondent is affected by a substance abuse or mental disability; and~~
 - ~~(b)(9)(B) the substance abuse or mental disability causally contributed to the misconduct; and~~
 - ~~(b)(9)(C) the respondent's recovery from the substance abuse or mental disability is demonstrated by a meaningful and sustained period of successful rehabilitation; and~~
 - ~~(b)(9)(D) the recovery arrested the misconduct and the recurrence of that misconduct is unlikely;~~
- ~~(b)(10) unreasonable delay in disciplinary proceedings, provided that the respondent did not substantially contribute to the delay and provided further that the respondent has demonstrated prejudice resulting from the delay;~~
- ~~(b)(11) interim reform in circumstances not involving mental disability or impairment;~~
- ~~(b)(12) imposition of other penalties or sanctions;~~

~~(b)(13) remorse; and~~

~~(b)(14) remoteness of prior offenses.~~

~~(c) Other circumstances. The following circumstances should not be considered as either
aggravating or mitigating:~~

~~(c)(1) forced or compelled restitution;~~

~~(c)(2) withdrawal of complaint against the licensed practitioner;~~

~~(c)(3) resignation prior to completion of disciplinary proceedings;~~

~~(c)(4) complainant's recommendation as to sanction; and~~

~~(c)(5) failure of injured client to complain.~~

Chapter 14. Rules Governing the Utah State Bar.

Rule 14-102. ~~Regulating~~ ~~on~~ of the practice of law.

(a) ~~Vesting~~ ~~of~~ authority.

(1) ~~Under the power vested to it by the Constitution of Utah, the~~ Supreme Court ~~— by its constitutional power — hereby~~ authorizes and designates the Bar to administer rules and regulations ~~which that~~ govern the practice of law in Utah, including ~~regulating legal representation by Licensed Paralegal Practitioners.~~ All persons authorized to practice law in Utah ~~shall~~ must be licensed by the Bar in accordance with this chapter and Chapter 15 of the Supreme Court Rules of Professional Practice.

(2) The Supreme Court recognizes a compelling state interest in ~~its use of using~~ the Bar to assist the Court in governing admission to the practice of law, ~~the~~ ~~conduct and discipline of persons admitted to practice law,~~ and ~~to improve~~ the the quality of legal services in the state. ~~The Court also finds that the~~ requirements imposed, the delegations made, and the authority granted to the Bar provide the best ways to promote these compelling state interests and ~~that~~ there are no less restrictive alternatives available to achieve those results.

Comment [LL44]: Recommendation 1.2

(b) **Responsibilities of the Bar.** ~~The Bar's~~ Ppurposes, duties, and responsibilities ~~of the Bar~~ include, ~~but are not limited to, the following:~~

- (1) ~~to advance~~ advancing the administration of justice according to law;
- (2) ~~to aid~~ aiding the courts in ~~carrying on~~ the administration of justice;
- (3) ~~to regulate~~ regulating the admission of persons seeking to practice law; ~~(4) to regulate the licensing of Licensed Paralegal Practitioners; (5) to provide for the regulation and discipline of persons practicing law;~~
- (6) ~~to foster~~ ing and ~~to maintain~~ ing integrity, learning competence, public service, and high standards of conduct among those practicing law;

Comment [LL45]: Recommendation 1.2

(75) ~~to represent~~representing the Bar before legislative, administrative, and judicial bodies;

(86) ~~to prevent~~preventing the unauthorized practice of law;

(97) ~~to promote~~promoting professionalism, competence, and excellence ~~in those practicing law~~ through continuing legal education and ~~by~~ other means;

(108) ~~to provide~~providing a service to the public, ~~to~~ the judicial system, and ~~to members of the Bar~~ members;

(149) ~~to educate~~educating the public about the rule of law and ~~their~~ responsibilities under the law; and

(1210) ~~to assist~~assisting Bar members ~~of the Bar~~ in improving the quality and efficiency of their practice.

(c) **Qualifications.** ~~This chapter prescribes the qualifications, duties, and obligations of lawyers, and foreign legal consultants, and licensed paralegal practitioners admitted licensed for admission to practice law in Utah, the licensing qualifications for Licensed Paralegal Practitioners, the duties, obligations and the grounds for discipline of members, and Licensed Paralegal Practitioners, and the method of establishing such grounds, subject to the right of this~~ The Supreme Court is responsible for to disciplining a Bar member or licensed paralegal practitioner admitted to the Bar or a Licensed Paralegal Practitioners, shall be as prescribed in this chapter.

Comment [LL46]: Recommendation 1.2

(d) **Licensure required.** ~~No Suspended or disbarred persons shall may not practice law in Utah or hold himself or herself themselves out as one who may able to practice law in Utah. A person may only practice law in Utah if that person is unless:~~

(1) a licensed lawyer he or she has been admitted and is an active member of the Bar member in good standing;

(2) or is an inactive member in good standing providing pro bono legal services for or on behalf of a legal services organization approved by the Bar upon

1 meeting certification and performance standards, conditions, and rules
2 established by the Board;

3 ~~(3) or has been a foreign legal consultant~~ licensed by the Bar ~~as a foreign legal~~
4 ~~consultant; or~~

5 ~~(4) .No suspended or disbarred lawyer or foreign legal consultant shall practice~~
6 ~~law in Utah or hold himself or herself out as one who may practice law in Utah~~
7 ~~while suspended or disbarred.(c) **Licensure Required for Licensed Paralegal**~~
8 ~~**Practitioners.** No person shall practice as a Licensed Paralegal Practitioners or~~
9 ~~hold him or herself out as one who is a Licensed Paralegal Practitioners unless he~~
10 ~~or she has been licensed as a Licensed Paralegal Practitioners and is an active~~
11 ~~licensee of the Bar and in good standing.No delicensed Licensed Paralegal~~
12 ~~Practitioner shall practice law in Utah or hold him or herself out as one who may~~
13 ~~practice law in Utah while suspended or delicensed.~~

1 **Rule 14-103. Bar Organization and management of the Bar.**

2 (a) **Board of Commissioners; number, term, and vacancies, powers and duties.**

3 (1) Number. ~~There shall be a Bar's~~ Board of Commissioners ~~of the Bar~~ consist~~ing~~
4 of ~~no fewer than at least~~ 13 but no more than 15 voting members, including 11
5 elected lawyers and two non-lawyers appointed by the Supreme Court.

6 (2) Term. ~~The initial term of office of one of the non-lawyer commissioners shall~~
7 ~~be for two years. Except as~~ Unless otherwise provided, the term of office of each
8 commissioner ~~shall be~~ is three years and until a successor is elected and qualified.
9 The initial term of office of one of the nonlawyer commissioners is two years.

10 (3) Vacancies.

11 (A) If a lawyer vacancy on the Board occurs ~~prior to~~ before the expiration
12 ~~of~~ the completed term of office, the remaining commissioners ~~shall~~ will:

13 ~~(a)(1)(A)(i)~~ (i) conduct a special election;

14 ~~(a)(1)(B)(ii)~~ (ii) appoint an interim successor from among the active
15 ~~members of the Bar~~ members whose business mailing addresses on
16 the Bar's records ~~of the Bar~~ are in the division from which the
17 commissioner was elected, who ~~shall~~ will serve until the ~~following~~
18 next annual election; or

19 ~~(a)(1)(C)(iii)~~ (iii) fill the vacancy ~~through~~ during the next regular annual
20 election.

21 ~~(a)(2)(B)~~ (B) If a lawyer vacancy on the Board is filled by either a special or
22 regular election, the Board may establish the term of the successor to be
23 ~~either~~ a one, two or full three-year term, provided that there would
24 be ~~not more than three but not fewer than two~~ only two or three
25 commissioners from the Third Division whose terms expire in any one

year and ~~not more than five but not fewer than four~~ only four or five Board commissioners ~~on the Board~~ whose terms expire in any one year.

~~(a)(3)(C)~~ A President's unexpired Commission term ~~shall~~ will be filled in the regular election cycle immediately preceding the time he or she succeeds to the office of President.

(b) Board's powers. The Board ~~is granted and~~ may exercise all powers necessary and proper to carry out ~~the its~~ duties and responsibilities ~~of the Bar and the purposes of these rules~~ and ~~shall have~~ has all authority ~~which is~~ not specifically reserved to the Supreme Court. The Court specifically reserves the authority to:

(1) approve Bar admission and licensure fees for attorneys and ~~L~~icensed ~~P~~aralegal ~~P~~ractioners;

(2) approve all rules and regulations ~~formulated by the Board~~ for admission, licensure, professional conduct, client security fund, fee arbitration, procedures of discipline and disability, legislative activities, unauthorized practice of law, and Bar Examination review and appeals; and

(3) establish appropriate rules and regulations governing mandatory continuing legal education.

(c) **Territorial divisions.** The First Division includes the First Judicial District ~~shall be known as the First Division~~; the Second Division includes the Second Judicial District ~~shall be known as the Second Division~~; the Third Division includes the Third Judicial District ~~shall be known as the Third Division~~; the Fourth Division includes the Fourth Judicial District ~~shall be known as the Fourth Division~~; and the Fifth Division includes the Fifth, Sixth, Seventh, and Eighth Judicial Districts ~~shall be known as the Fifth Division~~.

(d) **Number of lawyer commissioners from each division.** Each division will have ~~There shall be~~ one lawyer commissioner ~~member of the Board from each of the divisions~~, except the Third Division ~~from which there shall be~~ will have seven lawyer

Comment [LL47]: Recommendation 1.2

commissioners. No more than one lawyer commissioner from any division except from the Third Division, and no more than seven lawyer commissioners from the Third Division, ~~shall~~may serve on the Board at the same time.

(e) **Nomination and eligibility of lawyer commissioners.** To nominate a person for commissioner for a particular division, a member's~~Lawyers whose~~ business mailing addresses on the Bar's records must be of the Bar are within that a particular division, ~~shall alone have the right to nominate persons for the office of commissioner from that division.~~ To be eligible for the office of lawyer commissioner in a division, the nominee's business mailing address on the Bar's records must be within that division, ~~as shown by the records of the Bar.~~ Nomination to the office of commissioner ~~shall~~must be by written petition of at least ten 10 or more Bar members ~~of the Bar~~ in good standing. Any number of candidates may be nominated on a single petition.

Nominating petitions ~~shall~~will be provided to the executive director within a period ~~to~~ be fixed by the ~~rules made by the~~ Board's rules.

(f) **Commissioner Elections of commissioners.**

(1) ~~The lawyers on the Board~~ Lawyer commissioners must~~shall~~ be elected by ~~the vote of the~~ resident active Bar members ~~of the Bar~~ as follows:

(A) beginning in the year 1983 and every third year thereafter, one member from the Second Division and two members from the Third Division, ~~except that but in the year~~ 1983 only, there ~~shall~~will be four members elected from the Third Division;

(B) beginning in the year 1984 and every third year thereafter, one member from the First Division and three members from the Third Division; and

(C) beginning in the year 1985 and every third year thereafter, two members from the Third Division and one each from the Fourth and Fifth Divisions.

(2) The candidate from any division, and the ~~two or~~ three ~~or two~~ candidates from the Third Division, receiving the greatest number of votes of that division ~~shall~~ will be the commissioner ~~from of~~ such division. ~~For the year 1983, the candidate from the Third Division receiving the fourth greatest number of votes shall be the commissioner for a two-year term.~~ A member ~~is limited to~~ may only vote ~~ing~~ for commissioner candidates ~~for commissioner from the in the~~ division in which ~~his or her~~ the member's business mailing address on the Bar's records is located, ~~as shown by the records of the Bar.~~ The ballots ~~shall~~ will be returned to the Bar offices in accordance with its rules. There ~~shall~~ will be an annual election by the resident active ~~members of the Bar~~ members for the purpose of filling vacancies. The Board ~~shall~~ will fix the time for holding the annual election and prescribe such rules and regulations ~~in in regard thereto not in conflict with~~ accordance with this chapter. The Board ~~shall~~ must, ~~in accordance with its rules, give~~ mail annual election notices ~~of the annual election by mail~~ at least 90 days ~~prior to~~ before the date on which ~~ballots will be counted~~ the election closes.

~~(f)(3) Those persons holding office as commissioners at the time of the adoption of these rules or who were elected under the existing statute will continue in office for the period of time elected to serve.~~

(g) ~~President-elect's n~~ **Nomination and election of president-elect.** The Board ~~must~~ shall nominate ~~at least one~~ two active lawyers in good standing ~~on active status~~ to run for the office of president-elect, to be elected by ~~the vote of~~ the active ~~members of the Bar~~ members. The president and the president-elect ~~shall~~ will hold office until their successors are elected and seated. A secretary, and such other assistants as the Board may require, may be selected from within or without the Board to hold office at the pleasure of the Board and to be paid such compensation as the Board ~~shall~~ determines.

(h) ~~Board o~~ **Officers and organization of Board.** The Board ~~shall be~~ is organized and authorized to conduct business ~~by the seating of~~ through its elected commissioners, and ~~the Bar's~~ a president and president-elect ~~of the Bar~~. The president-elect for the previous

year ~~shall~~will automatically succeed to the office of president. A president and a president-elect who are not elected commissioners have the authority to vote on matters brought before the Board. In the event of a tie vote, the matter at hand ~~will~~shall fail to pass.

(i) **Annual and special meetings notice.** There ~~shall~~must be an annual meeting of the Bar, presided over by the Bar president ~~of the Bar~~, open to all members in good standing, and held at such time and place as the Board may designate, for ~~the discussion of the~~discussing Bar affairs ~~of the Bar~~ and the administration of justice. Special Bar meetings ~~of the Bar~~ may be held at such times and places as the Board ~~may~~ designates. Notice of all meetings ~~shall~~must be ~~published to the Bar's website given by mail to all members of the Bar~~ not fewer than ~~15~~4 days ~~prior to~~before the date of such meeting.

(j) **Bylaws.** The Board ~~shall have power to~~may adopt Bylaws, not ~~in~~in-conflicting with any of these rules' terms ~~of these rules~~, concerning ~~the officer~~ selection and tenure ~~of its officers, the~~ creation of sections and committees and their powers and duties, and generally for the control and regulation of the business of the Board and of the Bar.

1 **Rule 14-105. ~~Conduct of~~Proposing rules to regulate** licensed lawyers, ~~L~~licensed
2 ~~P~~paralegal ~~P~~practitioners, and judicial officers; ~~complaints, investigations, and~~
3 ~~discipline.~~

Comment [LL48]: Recommendation 1.2

4 (a) **Proposing Rrules.** The Board~~shall formulate~~proposes rules governing the conduct
5 of all persons admitted or licensed to practice in Utah, including foreign legal
6 consultants and those licensed as ~~L~~licensed ~~P~~paralegal ~~P~~practitioners, and Bar members
7 holding judicial office. ~~and shall investigate unethical, questionable or improper~~
8 ~~conduct of persons admitted to the practice of the law, including members of the Bar~~
9 ~~holding judicial office. The Board shall also formulate rules governing procedures in~~
10 ~~cases involving alleged misconduct of members of the Bar, including those holding~~
11 ~~judicial office.~~

Comment [LL49]: Recommendation 1.2

12 (b) **Court to approve rules and regulations.** All rules and regulations
13 ~~formulated~~proposed by the Board ~~shall~~must be submitted to and approved by the
14 Supreme Court.

Rule 14-107. ~~Annual license, fees, disbursements of funds~~ Duties of lawyers, foreign legal consultants, and licensed paralegal practitioners.

(a) ~~Roster and current record information~~. The Bar must collect, maintain, and have ready access to current information of Bar members, foreign legal consultants, and licensed paralegal practitioners including:

(1) full name;

(2) date of birth;

(3) current physical addresses, and current telephone numbers for law office and residence, except that full-time judges are exempt from providing residential addresses and telephone numbers;

(4) current e-mail address;

(5) date of admission;

(6) date of any transfer to or from inactive status;

(7) all specialties in which certified;

(8) other jurisdictions in which the lawyer is admitted and date of admission; and

(9) nature, date, and place of any discipline imposed and any reinstatements.

(b) ~~Assessments~~.

(1) **Annual licensing fee.** To effectuate the Bar's purposes, every lawyer, foreign legal consultant, and licensed paralegal practitioner admitted or licensed to practice in Utah must pay to the Bar on or before July 1 of each year an annual license fee for each fiscal year to be fixed by the Bar Commission from time to time and approved by the Supreme Court. The fee must be sufficient to pay the costs of disciplinary administration and enforcement. The Bar administers the funds.

(2) **Failure to renew annual license.** Failure to pay the annual licensing fee or provide the required annual licensing information will result in administrative

Comment [LL50]: Moved over from 14-507. This is a Bar requirement, not an OPC requirement.

Comment [LL51]: Moved over from 14-508. This is a Bar requirement, not OPC.

1 suspension. Any lawyer, foreign legal consultant, or licensed paralegal
2 practitioner who practices law after failing to renew such license violates the
3 Rules of Professional Conduct or Licensed Paralegal Practitioner Rules of
4 Professional Conduct and may be disciplined. The executive director or designee
5 must give notice of such removal from the rolls to such noncomplying member
6 at the designated mailing address on the Bar's records and to the state and
7 federal courts in Utah.

8 **(3) Reenrollment within three years of administrative suspension.** A lawyer,
9 foreign legal consultant, or licensed paralegal practitioner who is
10 administratively suspended for failing to pay licensing fees for three years or less
11 may apply in writing for reenrollment. The request should be made to the Utah
12 State Bar Licensing Department and include payment equal to the fees the
13 lawyer, foreign legal consultant, or licensed paralegal practitioner would have
14 been required to pay had such person remained an inactive member to the date
15 of the request for reenrollment and a \$200 reinstatement fee. Upon receipt, the
16 Bar will order reenrollment and so notify the courts. Reenrollment based on
17 failure to renew does not negate any orders of discipline.

18 **(4) Reenrollment after three years of administrative suspension.** A lawyer,
19 foreign legal consultant, or licensed paralegal practitioner who is
20 administratively suspended for three years or more for failing to pay license fees
21 must comply with the admissions requirements set forth in the Supreme Court
22 Rules of Professional Practice governing admission for lawyers who have been
23 administratively suspended for nonpayment for three or more years before being
24 reinstated.

Rule 14-111. Practicing without a license prohibited.

(a) Action or proceedings to enforce. Exception. ~~Pursuant to Rule 14-506(a) and 15-506(a), n~~ No person who is not ~~duly admitted and~~ licensed to practice law in Utah as an attorney at law or as a foreign legal consultant or ~~L~~icensed ~~P~~aralegal ~~P~~ractionitioner ~~nor any person whose right or license to so practice has terminated either by disbarment, suspension, delicensure, failure to pay his or her license and other fees or otherwise, shall~~ may practice or assume to act or hold himself or herself out to the public as a person qualified to practice law or to carry on the calling of an attorney at law in Utah or ~~L~~icensed ~~P~~aralegal ~~P~~ractionitioner. Such practice, or assumption to act or holding out, by any such unlicensed ~~or disbarred, suspended or delicensed~~ person ~~shall~~will not constitute a crime, but this prohibition against the practice of law by any such person ~~shall~~will be enforced by such civil action or proceedings, including writ, contempt, or injunctive proceedings, as may be necessary and appropriate, which action or which proceedings the Bar will institute ~~shall be instituted by the Bar~~ after Board approval ~~by the Board~~.

(b) Nothing in this article ~~shall~~will prohibit a person who is unlicensed as an attorney, ~~at law or a~~ foreign legal consultant, or ~~L~~icensed ~~P~~aralegal ~~P~~ractionitioner from personally representing that person's own interests in a cause to which the person is a party in ~~his or her~~that person's own right and not as ~~a~~n assignee.

Rule 14-202. Bar's Purposes of the Bar.

The purposes of the Bar ~~are to include~~:

- (a) ~~advance~~ing the administration of justice according to law;
- (b) ~~aid~~ing the courts in carrying on the administration of justice;
- (c) ~~regulate~~ing the admission of persons seeking to practice law;
- ~~(d) provide for the regulation and discipline of persons practicing law;~~
- (~~e~~) ~~foster~~ing and ~~maintain~~ing integrity, learning, competence, public service, and high standards of conduct among those practicing law;
- (~~f~~) ~~represent~~ing the Bar before the legislative, administrative, and judicial bodies;
- (~~g~~) ~~prevent~~ing the unauthorized practice of law;
- (~~h~~) ~~promote~~ing professionalism, competence, and excellence in those practicing law through continuing legal education and ~~by~~ other means;
- (~~i~~) ~~provide~~ing services to the public, ~~to~~ the judicial system, and ~~to Bar~~ members of the Bar;
- (~~j~~) ~~educate~~ing the public about the rule of law and ~~their~~ responsibilities under the law;
- (~~k~~) ~~assist~~ing Bar members ~~of the Bar~~ in improving the quality and efficiency of their practice;
- (~~l~~) ~~to engage~~ing freely in all lawful activities and efforts, including ~~the solicitation of~~soliciting grants and contributions that may reasonably be ~~intended or~~ expected to promote and advance these purposes; and
- (~~m~~) ~~carry~~ing on any other business connected with or incidental to the foregoing objectives and purposes, and ~~to have~~ing and ~~exercise~~ing all the powers conferred

Comment [LL52]: Recommendation 1.2

1 | ~~under law of Utah~~ upon corporations formed under the Utah Revised Nonprofit
2 Corporation Act.
3

Rule 14-207. Finances.

~~(a) Annual licensing fees. The annual licensing fees to be paid each year by all members of the Bar shall be fixed by the Board with prior Supreme Court approval.~~

~~(b) Budget. The Board shall must prepare an annual budget which shall that be is published for comment prior to before final adoption. The Board shall must adopt the budget at its first regular meeting following the reorganization meeting. No obligations shall may be incurred unless within the limits of the budget and within the scope of the authorized objectives of the Board. The Bar's annual budget must include a budget for the OPC, including the salaries of OPC counsel and staff, expenses, and administrative costs. The Board must ratify the budget for the OPC approved by the Oversight Committee unless the Board petitions the Supreme Court for modifications, in which case the budget approved by the Supreme Court is final.~~

Comment [LL53]: Recommendation 2.6

(e) Section dues.

(1) ~~Bar S~~sections ~~of the Bar~~ may, with ~~the Board~~ approval ~~of the Board~~, charge an annual membership fee ~~in order~~ to obtain the commitment of members to section activities and to provide revenue to carry out the ~~section's~~ purposes ~~of the section~~. The amount of such membership fees ~~shall will~~ be fixed by the section subject to the approval of the Board.

(2) ~~The Bar must hold any F~~unds raised by sections from membership fees ~~shall be held by the Bar~~ as separately identifiable funds of the sections, and disbursed to the sections as needed, to carry out the functions of the sections. Such funds ~~shall may~~ not revert to the general Bar fund at the end of the budget year, but ~~shall will~~ continue to be held as a separately identifiable fund.

(e) Disbursements.

(1) ~~Bar F~~unds ~~of the Bar shall be~~ are disbursed only in accordance with the provisions of law and by these Bylaws, and at the direction of the Board.

(2) Checking accounts ~~shall~~must be maintained with banks to be designated by the Board in such amounts as the Board ~~shall~~will determine.

(3) No check ~~shall~~may be drawn on ~~the Bar~~ funds ~~of the Bar~~ except as the Board authorized ~~by the Board~~.

(4) Checks under ~~the amount of~~ \$1,000 ~~can~~may be signed by ~~any one of the members of the~~ Executive Committee member or by the executive director.

Checks over ~~the amount of~~ \$1,000 ~~shall~~must bear the signatures of any two ~~members of the~~ Executive Committee members or any one ~~member of the~~ Executive Committee member and the executive director, unless the funds come from the except that there shall be a revolving-fund account for day-to-day operating needs, in which case a check of any amount may ~~can~~ be signed by ~~any one of the members of the~~ Executive Committee member or by the executive director. The Board designates the size of the revolving-fund account ~~shall be designated annually by the Board and can~~may revise this ~~be revised~~ at any time ~~by Board action~~.

(~~de~~) Invest~~ingment of~~ funds. The Board must direct any investment of Bar f ~~Funds of the Bar shall be invested at the direction of the Board~~.

Rule 14-208. Special rules and regulations.

(a) **Bar Admission to the Bar.** The Board ~~shall~~ ~~propose~~ ~~promulgate~~ rules for applicant ~~Bar~~ admission ~~of applicants to the Bar~~ pursuant to Article 1, Integration and Management, and ~~shall~~ recommends to the Supreme Court for approval rules governing qualifications and requirements for admission to the practice of law as a lawyer and as a foreign legal consultant and for the examination of applicants.

~~(b) Conduct and discipline. The Board shall promulgate rules governing the conduct and discipline of members of the Bar and shall recommend to the Supreme Court for approval rules governing the conduct of members of the Bar and rules governing the disciplinary and disability procedures in cases involving alleged misconduct or incapacity of members.~~

Comment [LL54]: Recommendation 1.2

(eb) **Student practice rules.** The Board may ~~promulgate and~~ recommend to the Supreme Court for approval rules governing student practice or student court assistance programs.

(ec) **Sections, standing committees, special committees.** To ~~facilitate the accomplishment of~~ advance the Bar's purposes and objectives ~~of the Bar~~, the Board ~~shall~~ must create appropriate sections, standing committees, and special committees ~~of the Bar~~ to which matters may be referred, ~~for handling and/or recommendation to the Board.~~ The Board may call for regular or periodic reports from such committees and sections at times and to such extent as ~~shall the Board deem~~ appear appropriate ~~to the Board.~~

(ed) **Committees.** The Board will select a chair and the members of each committee. Bar Committees of the Bar shall be consist of:

- (1) Standing committees, which ~~shall continue in existence~~ until abolished by the Board. Standing committee Mmembers ~~shall be appointed to standing committees for~~ serve in staggered, three-year terms ~~of three years;~~ and

(2) Ad hoc committees, ~~which, having been~~ created for a specific purpose, which
~~shall will be terminated~~ terminate upon completion of that purpose. Ad hoc
committee M ~~membership on ad hoc committees shall be for the time~~ lasts
through the committee's ~~is in~~ existence.

~~(e)(3) The Board shall select a chair and the members of each committee.~~

Rule 14-801. Definitions.

As used in this article:

(a) “**aActive status**” means a Bar licensing category as defined by Rule 14-203(a) and Rule 14-802, and the Bar’s rules, regulations, and policies;

(b) “**aApproved legal services organization**” means a Utah ~~not for-non~~profit legal services organization ~~which is~~ approved by the Bar as set forth herein. A legal services organization seeking approval ~~from the Bar shall must~~ file a petition with the Bar, attaching copies of its Articles of Incorporation and Bylaws, if any, and certifying that it is a ~~not for-non~~profit organization, reciting with specificity:

(1) the structure of the organization and whether it accepts funds from its clients;

(2) the major sources of funds used by the organization;

(3) the criteria used to determine potential clients’ eligibility for legal services performed by the organization;

(4) the types of legal and nonlegal service ~~performed by~~ the organization performs;

(5) the names of all Bar members ~~of the Bar who are~~ employed by the organization or who regularly perform legal work for the organization; and

(6) the existence and extent of malpractice insurance ~~which that~~ will cover the volunteer attorneys, with such documentation being updated on an annual basis;

(c) “**aAttorney applicant**” means a lawyer applicant as defined by ~~the~~ Rule 14-701;

(d) “**Bar**” means the Utah State Bar;

(e) “CLE” means MCLE accredited continuing legal education.

(f) “Inactive status” means a Bar licensing category as defined by Rule 14-203(a), Rule 14-802, and the Bar’s rules, regulations, and policies.

(g) “MCLE” means Mandatory Continuing Legal Education as set forth in Rule 14-401 et seq.

(h) “Mentoring Completion Certification” means the certification form in the NLTP appendix of forms.

(i) “NLTP” means the Bar’s New Lawyer Training Program as set forth in Rule 14-808.

(j) “OPC” means the Bar’s Office of Professional Conduct.

Comment [LL55]: Recommendation 1.2

(k) ~~except as used in Rule 14-807, “~~Supervising attorney~~,” except as used in Rule 14-807,~~ means an active ~~member of the Bar~~ member who generally supervises a volunteer attorney. The supervising attorney must:

- (1) be employed by an approved legal services organization;
- (2) assume professional responsibility as contemplated by Rule 5.1 of the Utah Rules of Professional Conduct for supervising the conduct of any litigation, administrative proceeding or other legal services in which the volunteer attorney participates providing, however, that concurrent administrative or judicial appearance is at the discretion of the supervising attorney;
- (3) assist the volunteer attorney ~~’s in his or her~~ legal service preparation to the extent that the supervisory attorney considers it necessary; and
- (4) ensure along with the agency that the volunteer attorney has appropriate and adequate training, knowledge and competency to perform the legal service permitted.

Rule 14-904. Funding.

(a) The Supreme Court ~~shall~~will provide for funding by the lawyers licensed in this state in amounts adequate for the proper payment of claims and costs of administering the Fund subject to paragraph (c).

(b) All determinations ~~with regards to~~regarding funding ~~shall~~will be within the discretion of the Board, subject to the Supreme Court's approval ~~of the Supreme Court~~.

(c) The Bar ~~shall have the~~has authority to assess its members for purposes of maintaining the Fund at sufficient levels to pay eligible claims in accordance with these rules. The Committee ~~shall~~must report annually to the Commission on a timely basis as to known prospective claims as well as total claims paid to date so that an appropriate assessment can be made for the upcoming fiscal year. After the assessment at the beginning of the fiscal year is determined, the Fund balance ~~shall~~must be set in an amount of ~~not less than~~at least \$200,000. The Bar ~~shall~~will then report to the Supreme Court as to known prospective claims as well as total claims paid to date after which the final assessment and fund balance ~~shall~~will be set with the Court's approval.

(d) A lawyer's failure to pay any fee assessed under paragraph (c) ~~shall be~~is cause for administrative suspension from practice until payment ~~has been made~~is received.

(e) Any lawyer whose actions have caused payment of funds to a claimant from the Fund ~~shall~~must reimburse the Fund for all monies paid out as a result of ~~his or her~~the lawyer's conduct with interest at legal rate, in addition to payment of the assessment for the procedural costs of processing the claim and reasonable attorney fees incurred by the ~~Bar's~~ Office of Professional Conduct or any other attorney or investigator engaged by the Committee to investigate and process the claim as a condition of continued practice.

(1) In lawyer discipline cases for which the Fund pays an eligible claim, the lawyer's license to practice ~~shall~~will be administratively suspended for non-

Comment [LL56]: Recommendation 1.2

1 | payment until the lawyer has reimbursemented to the Fund ~~has been made by~~
2 | ~~the lawyer.~~
3 |

Rule 14-912. Processing claims.

(a) Whenever it appears that a claim is not eligible for reimbursement pursuant to these rules, the claimant ~~shall~~must be advised of the reasons why the claim may not be eligible for reimbursement, and that unless additional facts to support eligibility are submitted to the Committee, the claim file ~~shall~~will be closed. The ~~chairperson of the Fund chair~~ may appoint themselves or any member of the Committee member and/or his/herself to determine the eligibility of claims.

(b) A certified copy of an order disciplining a lawyer for the same dishonest act or conduct alleged in the claim, or a final judgment imposing civil or criminal liability therefor, ~~shall be~~is evidence that a lawyer committed such dishonest act or conduct.

(c) The ~~Bar's~~ Office of Professional Conduct ~~Senior Counsel~~ shall must be promptly notified of each and every claim.

Comment [LL57]: Recommendation 1.2

(d) The lawyer alleged to have engaged in dishonest conduct ~~shall~~must be provided a copy of the claim and given an opportunity to respond to the Committee in writing within 201 days of ~~the receipt thereof to the Committee~~receiving the claim.

(e) The Committee may request that testimony be presented. If desired, The lawyer or lawyer's representative ~~shall must request be given~~ an opportunity to be heard ~~if they so request~~ within 201 days of receiving a notice from the Committee that the Committee will process the claim.

(f) The Committee may make a finding of dishonest conduct for purposes of adjudicating a claim. Such a determination is not a finding of dishonest conduct for the purposes of professional discipline and further, represents only a recommendation to the Board. A claim may only be considered if the individual lawyer involved has been disciplined to a threshold level of a public reprimand or is no longer in practice.

(g) The claim ~~shall~~will be determined on the basis of all available evidence, and notice ~~shall must~~ be given to the claimant and the lawyer of the final decision by the Board

1 after a recommendation has been made by the Committee. The recommendation for
2 ~~approval or denial of~~ approving or denying a claim ~~shall~~ requires the affirmative votes
3 of ~~at least~~ a majority of the Committee members and a quorum of the voting ~~members~~
4 ~~of the~~ Board members.

5 (h) Any proceeding ~~upon~~ a claim ~~shall~~ will not be conducted according to technical
6 rules relating to evidence, procedure, and witnesses. Any relevant evidence ~~shall~~ must
7 be admitted if it is the sort of evidence on which responsible persons are accustomed to
8 rely ~~on~~ in the conduct of serious affairs, regardless of ~~the existence of~~ any common law
9 or statutory rule ~~which that may~~ might make improper the admission of such evidence
10 over objection in court proceedings. The claimant ~~shall have~~ has the duty to supply
11 relevant evidence to support the claim.

12 (i) The Board ~~shall~~ must determine the order and manner of payment and pay those
13 claims it deems meritorious. ~~U~~ but unless the Board directs otherwise, no claim ~~should~~
14 will be approved during ~~the pendency of a~~ a pending disciplinary proceeding involving
15 the same act or conduct as alleged in the claim; ~~specifically, n~~ No determination ~~and/or~~
16 hearing ~~shall~~ will take place until ~~such time that~~ all disciplinary proceedings ~~have, in~~
17 ~~fact, been completed~~ are complete.

18 (j) The Board must advise B both the claimant and the lawyer ~~shall be advised~~ of the
19 status of the Board's consideration of the claim and after having received the
20 recommendation of the Committee, must also ~~shall~~ be informed of the final
21 determination.

22 (k) The claimant may request reconsideration within ~~30-28~~ 28 days of the denial or
23 determination of the amount of the claim.

Chapter 15. Rules Governing Licensed Paralegal Practitioners.

Rule 15-402. Definitions.

As used in this article:

(a) Reserved.

(b) “**Accredited CLE**” means a CLE course that has been approved the Board in accordance with Rule 15-410.

(c) “**Active status**” or “**active status “licensed paralegal practitioner**” means a licensed paralegal practitioner who has elected to be on active status as defined under the Bar’s rules, regulations and policies.

(d) ~~Reserved.~~

~~(e)(1)~~ “**Approved law school**” means an ABA approved law school as defined under Rule 14-701.

(e)(2) “**Approved paralegal education program**” means a program offered by an accredited school as that term is defined in Rule 15-701.

(f) “**Bar**” means the Utah State Bar.

(g) Reserved.

(h) “**Board**” means the Utah State Board of Mandatory Continuing Legal Education as set forth in Rule 14-403.

(i) “**Board of Bar Commissioners**” means the governing board of the Bar.

(j) “**Certificate of Compliance**” means a written report evidencing a licensed paralegal practitioner’s completion of accredited CLE as required and defined under Rule 15-414.

(k) “**CLE**” means continuing legal education.

(l) “**Live CLE**” means a CLE program presented in a classroom setting where the licensed paralegal practitioner is in the same room as the presenter.

(2) “**Live Attendance**” means in person attendance at a Utah state courthouse where a course is streamed by live audio-visual communication from another Utah state courthouse or from the Law and Justice Center.

(3) “**Self-Study CLE Program**” means a program presented in a suitable setting where the licensed paralegal practitioner can view approved self-study activities.

(l) Reserved.

(m) “**Compliance Cycle**” means the period of two 2-years beginning July 1 through June 30.

(n) “**Ethics**” means standards set by the Utah Rules of Professional Conduct with which a licensed paralegal practitioner must comply to remain authorized to certify as a licensed paralegal practitioner in Utah and remain in good standing.

(o) Reserved.

(p) Reserved.

(q) “**Inactive status**” or “**inactive status licensed paralegal practitioner**” means a licensed paralegal practitioner who has elected to be on inactive status as defined under the Bar’s rules, regulations and policies.

(r) “**MCLE**” means mandatory continuing legal education as defined under this article.

(s) Reserved.

(t) “**New licensee**” means a licensed paralegal practitioner newly licensed by the Utah State Bar.

(u) Reserved.

(v) “**Presumptively approved sponsor**” means those CLE sponsors or providers who qualify under the standards set forth in Rule 15-412.

1 (w) “**Presumptive CLE accreditation**” means those CLE courses or activities that
2 qualify under the standards set forth in Rule 15-412~~7~~₂.

3 (x) “**Professionalism and Civility**” means conduct consistent with the tenets of
4 the legal profession by which a licensed paralegal practitioner demonstrates
5 civility, honesty, integrity, character, fairness, competence, ethical conduct,
6 public service, and respect for the rules of law, the courts, clients, lawyers,
7 other licensed paralegal practitioners, witnesses~~2~~ and unrepresented parties~~2~~.

8 (y) “**OPC**” means the ~~Bar’s~~ Office of Professional Conduct~~7~~₂.

9 (z) Reserved~~7~~₂.

10 (aa) “**Supreme Court**” means the Utah Supreme Court~~7~~₂ ~~and~~.

11 ~~(bb) Reserved~~

Comment [LL58]: Recommendation 1.2

Rule 15-701. Definitions.

As used in this article:

(a) “**ABA**” means the American Bar Association.

(b) “**Accredited Program**” means a course of instruction in paralegal studies from a program officially recognized as meeting the standards and requirements of a regional or national accrediting organization that is approved by the U.S. Department of Education, or a paralegal school or paralegal studies program that has been fully or provisionally approved by the ABA Standing Committee on Paralegals.

(c) “**Accredited School**” means a school officially recognized as meeting the standards and requirements of a regional or national accrediting organization that is approved by the U.S. Department of Education.:-

(d) “**Applicant**” means each person requesting licensure as a Licensed Paralegal Practitioner.

(e) “**Approved Law School**” means a law school which is fully or provisionally approved by the ABA pursuant to its Standards and Rules of Procedure for Approval of Law Schools. To qualify as approved, the law school must have been fully or provisionally approved at the time of the Applicant’s graduation, or at the time of the Applicant’s enrollment, provided ~~that~~ the Applicant graduated within a typical and reasonable ~~period of~~ time.

(f) “**Associate Degree**” means an undergraduate academic degree conferred by a college upon completion of the curriculum required for an associate degree.

(g) “**Bachelor’s Degree**” means an academic degree conferred by a college or university upon completion of the undergraduate curriculum.

(h) “**Bar**” means the Utah State Bar, including its employees, committees and the Board.

1 (i) “**Board**” means the Board of Bar Commissioners.

2 (j) “**Complete Application**” means an application that includes all fees and
3 necessary application forms, along with any required supporting documentation,
4 character references, a criminal background check, a photo, an official certificate
5 of graduation and if applicable, a test accommodation request with supporting
6 medical documentation.

7 (k) “**Confidential Information**” is defined in Rule 15-720(a).

8 (l) “**Disbarred Lawyer**” means an individual who was once a licensed lawyer
9 and is no longer permitted to practice law.

10 (m) “**Executive Director**” means the executive director of the Utah State Bar or
11 ~~her or his~~ designee.

12 (n) “**First Professional Degree**” means a degree that prepares the holder for
13 admission to the practice of law (e.g. juris doctorate) by emphasizing
14 competency skills along with theory and analysis. An advanced, focused, or
15 honorary degree in law is not recognized as a First Professional Degree (e.g.
16 master of laws or doctor of laws).

17 (o) “**Full-time**” means providing legal services as a paralegal for no fewer than
18 80 hours per month.

19 (p) “**General Counsel**” means the General Counsel of the Utah State Bar or ~~her~~
20 ~~or his~~ designee.

21 (q) “**Licensed Paralegal Practitioner**” means a person licensed by the Utah
22 Supreme Court to provide limited legal representation in the areas of (1)
23 temporary separation, divorce, parentage, cohabitant abuse, civil stalking, and
24 custody and support; (2) forcible entry and detainer and unlawful detainer; or (3)
25 debt collection matters in which the dollar amount in issue does not exceed the
26 statutory limit for small claims cases.

(r) “**LPP**” means Licensed Paralegal Practitioner.

(s) “**LPP Administrator**” means the Bar employee in charge of LPP licensure or ~~his or her~~ designee.

(t) “**LPP Admissions Committee**” means those Utah State Bar members or others appointed by the Board or president of the Bar who are charged with recommending standards and procedures for licensure of LPPs, with implementation of this article, reviewing requests for test accommodations, and assessing the qualifications of applicants.

(u) “**NALA**” means the National Association of Legal Assistants.

(v) “**NALS**” means The Association for Legal Professionals.

(w) “**NFPA**” means the National Federation of Paralegal Associations.

(x) “**National Certification**” means Certified Paralegal (CP or CLA) credential from the National Association of Legal Assistants (NALA); the Professional Paralegal (PP) credential from the National Association of Legal Professionals (NALS); or the Registered Paralegal (RP) credential from the National Federation of Paralegal Associations (NFPA).

(y) “**OPC**” means the ~~Bar’s~~ Office of Professional Conduct.

(z) “**Paralegal**” means a person qualified through education, training, or work experience, who is employed or retained by a lawyer, law office, governmental agency, or the entity in the capacity or function which involves the performance, under the ultimate direction and supervision of an attorney, of specifically delegated substantive legal work, which work, for the most part, requires a sufficient knowledge of legal concepts that absent such assistance, the attorney would perform.

(aa) “**Paralegal Certificate**” means verification that an individual has successfully completed a paralegal studies program from an Accredited Program

1 that includes at least 15 credit hours of paralegal studies. The certificate must be
2 offered, taught, and granted by an Accredited Program.

3 (bb) "**Paralegal Studies**" and "**Paralegal Studies Degree**" mean course work that
4 prepares a holder to work as a paralegal.

5 (cc) "**Privileged Information**" in this article includes: information subject to the
6 attorney-client privilege, attorney work product, test materials and applications
7 of examinees; correspondence and written decisions of the Board and LPP
8 Admissions Committee, and the identity of individuals participating in the
9 drafting, reviewing, grading and scoring of the LPP Licensure Examination.

10 (dd) "**Reapplication for Licensure**" means that for two years after the filing of an
11 original application, an Applicant may reapply by completing a Reapplication
12 for Licensure form updating any information that has changed since the prior
13 application was filed and submitting a new criminal background check.

14 (ee) "**Substantive Law-Related Experience**" means the provision of legal
15 services as a Paralegal, paralegal student or law student including, but not
16 limited to, drafting pleadings, legal documents or correspondence, completing
17 forms, preparing reports or charts, legal research, and interviewing clients or
18 witnesses. Substantive Law-Related Experience does not include routine clerical
19 or administrative duties. Substantive Law-Related Experience for licensure in
20 landlord-tenant and debt collection includes, but is not limited to, the provision
21 of legal services as a Paralegal supervised by a licensed attorney, paralegal
22 student or law student in the areas of bankruptcy, real estate, mortgage and/or
23 banking law.

24 (ff) "**Supreme Court**" means the Utah Supreme Court.

25 (gg) "**Unapproved Law School**" means a law school that is not fully or
26 provisionally approved by the ABA.

1 (hh) “**Updated Application**” means that an Applicant is required to amend and
2 | update ~~her or his~~ the Applicant’s application on an ongoing basis and correct any
3 information that has changed since the application was filed.