

**Rule 1.6. Confidentiality of Information.**

(a) A lawyer shall not reveal information relating to the representation of a client unless the client gives informed consent, the disclosure is impliedly authorized in order to carry out the representation or the disclosure is permitted by paragraph (b).

(b) A lawyer may reveal information relating to the representation of a client to the extent the lawyer reasonably believes necessary:

(b)(1) to prevent reasonably certain death or substantial bodily harm;

(b)(2) to prevent the client from committing a crime or fraud that is reasonably certain to result in substantial injury to the financial ~~interest~~interests or property of another and in furtherance of which the client has used or is using the lawyer's services;

(b)(3) to prevent, mitigate or rectify substantial injury to the financial interests or property of another that is reasonably certain to result or has resulted from the client's commission of a crime or fraud ~~and~~ in furtherance of which the client has used the lawyer's services;

(b)(4) to secure legal advice about the lawyer's compliance with these Rules;

(b)(5) to establish a claim or defense on behalf of the lawyer in a controversy between the lawyer and the client, to establish a defense to a criminal charge or civil claim against the lawyer based upon conduct in which the client was involved, or to respond to allegations in any proceeding concerning the lawyer's representation of the client; ~~or~~

(b)(6) to comply with other law or a court order; or

(b)(7) to detect and resolve conflicts of interest arising from the lawyer's change of employment or from changes in the composition or ownership of a firm, but only if the revealed information would not compromise the attorney-client privilege or otherwise prejudice the client.

(c) A lawyer shall make reasonable efforts to prevent the inadvertent or unauthorized disclosure of, or unauthorized access to, information relating to the representation of a client.

~~(e)~~(d) For purposes of this rule, representation of a client includes counseling a lawyer about the need for or availability of treatment for substance abuse or psychological or emotional problems by members of the Utah State Bar serving on ~~an~~a Utah State Bar endorsed lawyer assistance program.

**Comment**

[1] This Rule governs the disclosure by a lawyer of information relating to the representation of a client during the lawyer's representation of the client. See Rule 1.18 for the lawyer's duties with respect to information provided to the lawyer by a prospective client, Rule 1.9(c)(2) for the lawyer's duty not to reveal information relating to the lawyer's prior representation of a former client and Rules 1.8(b) and 1.9(c)(l) for the lawyer's duties with respect to the use of such information to the disadvantage of clients and former clients.

[2] A fundamental principle in the client-lawyer relationship is that, in the absence of the client's informed consent, the lawyer must not reveal information relating to the representation. See Rule 1.0(e) for the definition of informed consent. This contributes to the trust that is the hallmark of the client-lawyer

38 relationship. The client is thereby encouraged to seek legal assistance and to communicate fully and  
39 frankly with the lawyer even as to embarrassing or legally damaging subject matter. The lawyer needs  
40 this information to represent the client effectively and, if necessary, to advise the client to refrain from  
41 wrongful conduct. Almost without exception, clients come to lawyers in order to determine their rights and  
42 what is, in the complex of laws and regulations, deemed to be legal and correct. Based upon experience,  
43 lawyers know that almost all clients follow the advice given, and the law is upheld.

44 [3] The principle of client-lawyer confidentiality is given effect by related bodies of law: the attorney-  
45 client privilege, the work-product doctrine and the rule of confidentiality established in professional ethics.  
46 The attorney-client privilege and work-product doctrine apply in judicial and other proceedings in which a  
47 lawyer may be called as a witness or otherwise required to produce evidence concerning a client. The  
48 rule of client-lawyer confidentiality applies in situations other than those where evidence is sought from  
49 the lawyer through compulsion of law. The confidentiality rule, for example, applies not only to matters  
50 communicated in confidence by the client but also to all information relating to the representation,  
51 whatever its source. A lawyer may not disclose such information except as authorized or required by the  
52 Rules of Professional Conduct or other law. See also Scope.

53 [4] Paragraph (a) prohibits a lawyer from revealing information relating to the representation of a  
54 client. This prohibition also applies to disclosures by a lawyer that do not in themselves reveal protected  
55 information but could reasonably lead to the discovery of such information by a third person. A lawyer's  
56 use of a hypothetical to discuss issues relating to the representation is permissible so long as there is no  
57 reasonable likelihood that the listener will be able to ascertain the identity of the client or the situation  
58 involved.

#### 59 Authorized Disclosure

60 [5] Except to the extent that the client's instructions or special circumstances limit that authority, a  
61 lawyer is impliedly authorized to make disclosures about a client when appropriate in carrying out the  
62 representation. In some situations, for example, a lawyer may be impliedly authorized to admit a fact that  
63 cannot properly be disputed or to make a disclosure that facilitates a satisfactory conclusion to ~~the~~  
64 matter. Lawyers in a firm may, in the course of the firm's practice, disclose to each other information  
65 relating to a client of the firm, unless the client has instructed that particular information be confined to  
66 specified lawyers.

#### 67 Disclosure Adverse to Client

68 [6] Although the public interest is usually best served by a strict rule requiring lawyers to preserve the  
69 confidentiality of information relating to the representation of their clients, the confidentiality rule is subject  
70 to limited exceptions. Paragraph (b)(1) recognizes the overriding value of life and physical integrity and  
71 permits disclosure reasonably necessary to prevent reasonably certain death or substantial bodily harm.  
72 Such harm is reasonably certain to occur if it will be suffered imminently or if there is a present and  
73 substantial threat that a person will suffer such harm at a later date if the lawyer fails to take action  
74 necessary to eliminate the threat. Thus, a lawyer who knows that a client has accidentally discharged

75 toxic waste into a town's water supply may reveal this information to the authorities if there is a present  
76 and substantial risk that a person who drinks the water will contract a life-threatening or debilitating  
77 disease and the lawyer's disclosure is necessary to eliminate the threat or reduce the number of victims.

78 [7] Paragraph (b)(2) is a limited exception to the rule of confidentiality that permits the lawyer to reveal  
79 information to the extent necessary to enable affected persons or appropriate authorities to prevent the  
80 client from committing a crime or fraud, as defined in Rule 1.0(d), that is reasonably certain to result in  
81 substantial injury to the financial or property interests of another and in furtherance of which the client has  
82 used or is using the lawyer's services. Such a serious abuse of the client-lawyer relationship by the client  
83 forfeits the protection of this Rule. The client can, of course, prevent such disclosure by refraining from  
84 the wrongful conduct. Although paragraph (b)(2) does not require the lawyer to reveal the client's  
85 misconduct, the lawyer may not counsel or assist the client in conduct the lawyer knows is criminal or  
86 fraudulent. See Rule 1.2(d). See also Rule 1.16 with respect to the lawyer's obligation or right to withdraw  
87 from the representation of the client in such circumstances, and Rule 1.13(c) which permits the lawyer,  
88 where the client is an organization, to reveal information relating to the representation in limited  
89 circumstances.

90 [8] Paragraph (b)(3) addresses the situation in which the lawyer does not learn of the client's crime or  
91 fraud until after it has been consummated. Although the client no longer has the option of preventing  
92 disclosure by refraining from the wrongful conduct, there will be situations in which the loss suffered by  
93 the affected person can be prevented, rectified or mitigated. In such situations, the lawyer may disclose  
94 information relating to the representation to the extent necessary to enable the affected persons to  
95 prevent or mitigate reasonably certain losses or to attempt to recoup their losses. Paragraph (b)(3) does  
96 not apply when a person who has committed a crime or fraud thereafter employs a lawyer for  
97 representation concerning that offense.

98 [9] A lawyer's confidentiality obligations do not preclude a lawyer from securing confidential legal  
99 advice about the lawyer's personal responsibility to comply with these Rules. In most situations,  
100 disclosing information to secure such advice will be impliedly authorized for the lawyer to carry out the  
101 representation. Even when the disclosure is not impliedly authorized, paragraph (b)(4) permits such  
102 disclosure because of the importance of a lawyer's compliance with the Rules of Professional Conduct.

103 [10] Where a legal claim or disciplinary charge alleges complicity of the lawyer in a client's conduct or  
104 other misconduct of the lawyer involving representation of the client, the lawyer may respond to the extent  
105 the lawyer reasonably believes necessary to establish a defense. The same is true with respect to a claim  
106 involving the conduct or representation of a former client. Such a charge can arise in a civil, criminal,  
107 disciplinary or other proceeding and can be based on a wrong allegedly committed by the lawyer against  
108 the client or on a wrong alleged by a third person, for example, a person claiming to have been defrauded  
109 by the lawyer and client acting together. The lawyer's right to respond arises when an assertion of such  
110 complicity has been made. Paragraph (b)(5) does not require the lawyer to await the commencement of  
111 an action or proceeding that charges such complicity, so that the defense may be established by

112 responding directly to a third party who has made such an assertion. The right to defend also applies, of  
113 course, where a proceeding has been commenced.

114 [11] A lawyer entitled to a fee is permitted by paragraph (b)(5) to prove the services rendered in an  
115 action to collect it. This aspect of the rule expresses the principle that the beneficiary of a fiduciary  
116 relationship may not exploit it to the detriment of the fiduciary.

117 [12] Other law may require that a lawyer disclose information about a client. Whether such a law  
118 supersedes Rule 1.6 is a question of law beyond the scope of these Rules. When disclosure of  
119 information relating to the representation appears to be required by other law, the lawyer must discuss  
120 the matter with the client to the extent required by Rule 1.4. If, however, the other law supersedes this  
121 Rule and requires disclosure, paragraph (b)(6) permits the lawyer to make such disclosures as are  
122 necessary to comply with the law.

### 123 Detection of Conflicts of Interest

124 [13] Paragraph (b)(7) recognizes that lawyers in different firms may need to disclose limited  
125 information to each other to detect and resolve conflicts of interest, such as when a lawyer is considering  
126 an association with another firm, two or more firms are considering a merger, or a lawyer is considering  
127 the purchase of a law practice. See Rule 1.17. Comment [7]. Under these circumstances, lawyers and  
128 law firms are permitted to disclose limited information, but only once substantive discussions regarding  
129 the new relationship have occurred. Any such disclosure should ordinarily include no more than the  
130 identity of the persons and entities involved in a matter, a brief summary of the general issues involved,  
131 and information about whether the matter has terminated. Even this limited information, however, should  
132 be disclosed only to the extent reasonably necessary to detect and resolve conflicts of interest that might  
133 arise from the possible new relationship. Moreover, the disclosure of any information is prohibited if it  
134 would compromise the attorney-client privilege or otherwise prejudice the client (e.g., the fact that a  
135 corporate client is seeking advice on a corporate takeover that has not been publicly announced; that a  
136 person has consulted a lawyer about the possibility of divorce before the person's intentions are known to  
137 the person's spouse; or that a person has consulted a lawyer about a criminal investigation that has not  
138 led to a public charge). Under those circumstances, paragraph (a) prohibits disclosure unless the client or  
139 former client gives informed consent. A lawyer's fiduciary duty to the lawyer's firm may also govern a  
140 lawyer's conduct when exploring an association with another firm and is beyond the scope of these Rules.

141 [14] Any information disclosed pursuant to paragraph (b)(7) may be used or further disclosed only to  
142 the extent necessary to detect and resolve conflicts of interest. Paragraph (b)(7) does not restrict the use  
143 of information acquired by means independent to any disclosure pursuant to paragraph (b)(7). Paragraph  
144 (b)(7) also does not affect the disclosure of information within a law firm when the disclosure is otherwise  
145 authorized, see Comment [5], such as when a lawyer in a firm discloses information to another lawyer in  
146 the same firm to detect and resolve conflicts of interest that could arise in connection with undertaking a  
147 new representation.

148 | ~~[13]~~~~[15]~~ A lawyer may be ordered to reveal information relating to the representation of a client by a  
149 | court or by another tribunal or governmental entity claiming authority pursuant to other law to compel the  
150 | disclosure. Absent informed consent of the client to do otherwise, the lawyer should assert on behalf of  
151 | the client all nonfrivolous claims that the order is not authorized by other law or that the information  
152 | sought is protected against disclosure by the attorney-client privilege or other applicable law. In the event  
153 | of an adverse ruling, the lawyer must consult with the client about the possibility of appeal to the extent  
154 | required by Rule 1.4. Unless review is sought, however, paragraph (b)(6) permits the lawyer to comply  
155 | with the court's order.

156 | ~~[14]~~~~[16]~~ Paragraph (b) permits disclosure only to the extent the lawyer reasonably believes the  
157 | disclosure is necessary to accomplish one of the purposes specified. Where practicable, the lawyer  
158 | should first seek to persuade the client to take suitable action to obviate the need for disclosure. In any  
159 | case, a disclosure adverse to the client's interest should be no greater than the lawyer reasonably  
160 | believes necessary to accomplish the purpose. If the disclosure will be made in connection with a judicial  
161 | proceeding, the disclosure should be made in a manner that limits access to the information to the  
162 | tribunal or other persons having a need to know it and appropriate protective orders or other  
163 | arrangements should be sought by the lawyer to the fullest extent practicable.

164 | ~~[15]~~~~[17]~~ Paragraph (b) permits but does not require the disclosure of information relating to a client's  
165 | representation to accomplish the purposes specified in paragraphs (b)(1) through (b)(6). In exercising the  
166 | discretion conferred by this Rule, the lawyer may consider such factors as the nature of the lawyer's  
167 | relationship with the client and with those who might be injured by the client, the lawyer's own  
168 | involvement in the transaction and factors that may extenuate the conduct in question. A lawyer's  
169 | decision not to disclose as permitted by paragraph (b) does not violate this Rule. Disclosure may be  
170 | required, however, by other rules. Some rules require disclosure only if such disclosure would be  
171 | permitted by paragraph (b). See Rules 1.2(d), 4.1(b), 8.1 and 8.3. Rule 3.3, on the other hand, requires  
172 | disclosure in some circumstances regardless of whether such disclosure is permitted by this Rule. See  
173 | Rule 3.3(c).

#### 174 | Acting Competently to Preserve Confidentiality

175 | ~~[16]~~-A-~~[18]~~ Paragraph (c) requires a lawyer ~~must~~to act competently to safeguard information relating  
176 | to the representation of a client against unauthorized access by third parties and against inadvertent or  
177 | unauthorized disclosure by the lawyer or other persons who are participating in the representation of the  
178 | client or who are subject to the lawyer's supervision. See Rules 1.1, 5.1 and 5.3. The unauthorized  
179 | access to, or the inadvertent or unauthorized disclosure of, information relating to the representation of a  
180 | client does not constitute a violation of paragraph (c) if the lawyer has made reasonable efforts to prevent  
181 | the access or disclosure. Factors to be considered in determining the reasonableness of the lawyer's  
182 | efforts include, but are not limited to, the sensitivity of the information, the likelihood of disclosure if  
183 | additional safeguards are not employed, the cost of employing additional safeguards, the difficulty of  
184 | implementing the safeguards, and the extent to which the safeguards adversely affect the lawyer's ability

185 to represent clients (e.g., by making a device or important piece of software excessively difficult to use). A  
186 client may require the lawyer to implement special security measures not required by this Rule or may  
187 give informed consent to forgo security measures that would otherwise be required by this Rule. Whether  
188 a lawyer may be required to take additional steps to safeguard a client's information in order to comply  
189 with other law, such as state and federal laws that govern data privacy or that impose notification  
190 requirements upon the loss of, or unauthorized access to, electronic information, is beyond the scope of  
191 these Rules. For a lawyer's duties when sharing information with nonlawyers outside the lawyer's own  
192 firm, see rule 5.3. Comments [3]-[4].

193 [4719] When transmitting a communication that includes information relating to the representation of  
194 a client, the lawyer must take reasonable precautions to prevent the information from coming into the  
195 hands of unintended recipients. This duty, however, does not require that the lawyer use special security  
196 measures if the method of communication affords a reasonable expectation of privacy. Special  
197 circumstances, however, may warrant special precautions. Factors to be considered in determining the  
198 reasonableness of the lawyer's expectation of confidentiality include the sensitivity of the information and  
199 the extent to which the privacy of the communication is protected by law or by a confidentiality  
200 agreement. A client may require the lawyer to implement special security measures not required by this  
201 Rule or may give informed consent to the use of a means of communication that would otherwise be  
202 prohibited by this Rule. Whether a lawyer may be required to take additional steps in order to comply with  
203 other law, such as state and federal laws that govern data privacy, is beyond the scope of these Rules.

204 Former Client

205 [4820] The duty of confidentiality continues after the client-lawyer relationship has terminated. See  
206 Rule 1.9(c)(2). See Rule 1.9(c)(1) for the prohibition against using such information to the disadvantage of  
207 the former client.

208 [4920a] Paragraph (ed) is an addition to ABA Model Rule 1.6 and provides for confidentiality of  
209 information between lawyers providing assistance to other lawyers under ~~an~~ a Utah State Bar endorsed  
210 lawyer assistance program.

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