



WSBA

LIMITED LICENSE LEGAL TECHNICIAN (LLLT) BOARD

UPDATE: October 2017

Outreach & Press

Press:

- July 10, 2017: "[Are Legal Technicians Coming to Oregon?](#)", [Oregon Law Practice Management](#)
- July 11, 2017: "[Licensed Legal Technicians](#)", New York Times

Recent:

- September 8-9, 2017: Law Society of Manitoba, Paula Littlewood, Steve Crossland
- September 14, 2017: DCS Claims Officer Workshop at UW Tacoma – Access to Justice and the Unauthorized Practice of Law; LLLT presentation, Nancy Ivarinen and Jen Petersen
- September 16, 2017: LLLT Orientation at UW Law, Paula Littlewood, Steve Crossland, Doug Ende, Renata Garcia and Joe Terrenzio
- September 23, 2017: NALS Presentation, Brenda Cothary

Upcoming:

- October 25, 2017: Skagit and Whatcom Washington Women Lawyers, Wine with the Bar. Brad Furlong, WSBA President, and Nancy Ivarinen

Statistics & Other Events

- Number of current LLLTs: 24
- First status change, 1 LLLT is now inactive
- LLLT Exam: February 26, 2018

Meetings

Recent:

- September 20, 2017: Family Law Advisory Committee Meeting
- September 21, 2017: New Practice Area Committee Meeting
- September 21, 2017: LLLT Board Meeting
- October 19, 2017: New Practice Area Committee Meeting

Upcoming:

- November 8, 2017: Family Law Exam Workgroup Meeting
- November 9, 2017: New Practice Area Committee Meeting
- November 9, 2017: LLLT Board Meeting



WSBA

LIMITED LICENSE LEGAL TECHNICIAN (LLLT) BOARD

Meeting Minutes for September 21, 2017

Washington State Bar Association
1325 Fourth Avenue – Suite 600
Seattle, Washington 98101
1:30 p.m. to 4:30 p.m.

Those attending in person were: Sara Bove (waiting for admission as a LLLT), Cristy Carpenter (LLLT #113), Steve Crossland, Greg Dallaire, Kendra Hodgson (Ex Officio), Nancy Ivarinen, Genevieve Mann, Ruth McIntyre, Jennifer Ortega (LLLT #118), and Geoff Revelle (ATJ Board Liaison)

Those attending remotely were: Brenda Cothary, Jeanne Dawes, Lynn Fleischbein, Laura Genoves (LLLT #122), and Gail Hammer.

Also in attendance were: Jean McElroy, Chief Regulatory Counsel; Renata de Carvalho Garcia, Innovative Licensing Programs Manager; and Joe Terrenzio, LLLT Program Lead.

Call to Order/Preliminary Matters

The meeting was called to order at 1:32 pm.

- **Outreach Update**

Outreach updates were provided by board chair Steve Crossland, board member Nancy Ivarinen, board member Amy Riedel, board member Brenda Cothary, Renata Garcia, and Sarah Bove.

- **Approval of Meeting Minutes**

Board member Ruth McIntyre moved to approve the August 17, 2017 meeting minutes. The minutes were unanimously approved.

New Practice Area – Immigration Subcommittee Report

New Practice Area Committee Chair Greg Dellaire reported that the immigration subcommittee had a productive discussion. The committee discussed whether there is an unmet need, looked at and circulated a report from the American Immigration Council. The consensus is there is a need. The unanswered question is whether LLLTs can address the need. The committee plans to look more closely at whether LLLTs can do this work by looking at the anatomy of an immigration action at its next meeting.

New Practice Area - Personal Services Subcommittee Report

Board member Nancy Ivarinen reported that the subcommittee is looking at mandatory forms on the Washington Court website and forms and information on WashingtonLawHelp.org as demonstrating areas that have an unmet need where LLLTs can advise pro se clients. Examples include garnishments and Fair Debt Collection Practices Act matters for debtors.

Board chair Steve Crossland and board member Greg Dallaire gave an overview of how the family law practice area was determined and how new practice areas are assessed and developed. They also discussed what clients the LLLT license is designed to serve which includes those earning up to 400% of the federal poverty guidelines.

Family Law Advisory Committee Report

Committee chair Nancy Ivarinen reported that 12 examinees sat the Fall LLLT Exam and six passed. The Committee reviewed the questions and will continue to evaluate the examination materials. The Committee also considered the fact that some examinees have taken the exam three times and there is no limit on the number of times an individual can take the exam.

The Board discussed the progress towards unifying the admissions and licensing systems to have LLLTs, LPOs, and lawyers on the same schedules and systems. This would involve the LLLT exam moving to be February and July from the prior schedule of March and August. The board listened to concerns about the timing between finishing the Practice Area Curriculum and sitting for the Exam and ensuring there are enough materials to help students prepare.

The Board encouraged everyone who has feedback on this shift to please provide those comments as we continue this conversation.

RPC Committee Discussion

Renata Garcia provided an update on the status of APR 28 and explained that we should not submit the enhancements to APR 28 without making the necessary changes to the LLLT RPCs. It was pointed out that the board's RPC Committee does not currently have a chair. The board will review committees and their membership at its October meeting.

Board member Nancy Ivarinen moved to approve the LLLT RPC draft as written, have WSBA staff continue to review the draft LLLT RPC changes and make any additional necessary changes. If there are problems, those problems may be brought before the board at the October meeting. The motion was seconded and unanimously approved.

Review of Subcommittees

The Board will review all subcommittees and rosters at the October meeting. Staff will create rosters and sign-up sheets for all Committees.

LLLT and Court Facilitators

The Board reviewed and discussed a question about how LLLTs fit in with Skagit County's Family Law Facilitators program and the County's requirements for pro se litigants to have their documents reviewed by a Facilitator. Does the requirement apply if a LLLT prepares the documents?

Board chair Steve Crossland suggested that staff look at the various local rules to see what issues and inconsistencies there may be across the 39 counties. The board will then be able to determine what its role should be in these kinds of questions. In the meantime, staff will attempt to find out what Skagit County has to say about this requirement.

UW Site Visit

The site visit team is working on scheduling a meeting to review the UW paralegal program's application and before scheduling a site visit. The board discussed the fact that the UW paralegal program is through the UW continuing education program, not through the UW academic colleges. This means there program has a different accreditation standard and there may be other differences. The site visit team will consider how those differences apply to the standards for approval that the board previously approved.

Report and Recommendation from Nominations Committee

Board member Nancy Ivarinen reported that the Nominations Committee, after reviewing all applications, unanimously recommends Stephanie Delaney for the open Board member seat.

No public members applied. The Board discussed the need to have another public member and where to focus outreach to solicit public members.

Board member Greg Dallaire moved to nominate Stephanie Delaney. The motion was seconded and unanimously approved. Stephanie Delaney will be recommended to the Court for nomination to the LLLT Board.

Adjournment and Next Meeting

The meeting was adjourned at 4:12 pm. The next meeting will be held on October 19 at 1:30 pm.

2018 LLLT Board Roster

NAME	Position	Term Expiration
Stephen R. Crossland	Chair	9/30/2018
Tierra Busby	Member	9/30/2020
Brenda Cothary	Public	9/30/2019
Gregory R. Dallaire	Member	9/30/2018
Jeanne J. Dawes	Member	9/30/2019
Lynn K. Fleischbein	Member	9/30/2018
Professor Gail Hammer	Member	9/30/2019
Kendra Hodgson	Ex Officio	
Nancy Ivarinen	Member	9/30/2020
Andrea Jarmon	Member	9/30/2017
Genevieve Mann	Member	9/30/2019
Ruth Walsh McIntyre	Public	9/30/2019
Jennifer Peterson	Member	9/30/2020
Amy Riedel	Public	9/30/2018
TBD	Member	9/30/2020
TBD	Public	9/30/2020
BOG LIAISON		
TBD		
ATJ Board LIAISON		



Geoff Revelle		
WSBA STAFF		
Renata de Carvalho Garcia RSD Innovative Licensing Programs Manager		
Joe Terrenzio LLLT Program Lead		



2018 Admissions, Education, and Licensing Committee Roster

Description: The Committee discusses and drafts any needed changes to the licensure requirements. When a school applies for LLLT Board approval as a Core Curriculum provider, the Committee reviews application materials and Site Team findings, then either requests more information or makes a recommendation to the LLLT Board to approve or deny the application. It reviews and develops MCLE policies and makes decisions determining compliance with MCLE requirements. If necessary, the Committee makes decisions determining character and fitness of LLLT applicants. If necessary, the Committee reviews grievances against LLLTs and determines disciplinary action.

Anticipated Commitment: The frequency of meetings varies depending on changes to MCLE requirements, Core Curriculum applications, character and fitness reviews, and disciplinary action. The Committee is formed as a standing committee but will meet ad hoc.

NAME	E-MAIL	Participant Type
Genevieve Mann, Chair	manng@gonzaga.edu	LLLT Board Member
Brenda Cothary	bcothary@msn.com	LLLT Board Member
Stephen R. Crossland	steve@crosslandlaw.net	LLLT Board Member
Stephanie Delaney	Stephanie.Delaney@seattlecolleges.edu	LLLT Board Member
Nancy Ivarinen	nancy@ncilegal.com	LLLT Board Member
Andrea Jarmon	ajarmon@jarmonlaw.net	LLLT Board Member
Amy Riedel	ariedel@whatcom.edu	LLLT Board Member
Bobby (Buzz) Wheeler	bwheeler@highline.edu	Public Committee Member
WSBA STAFF		
Renata de Carvalho Garcia RSD Innovative Licensing Programs Manager	renatag@wsba.org	
Joe Terrenzio LLLT Program Lead	joet@wsba.org	





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2018 Core Curriculum Site Team Roster

Description: The Core Curriculum Site Team is appointed by the LLLT Board to review any applications submitted for approval under the [LLLT Educational Program Approval Standards](#). The Site Team reviews application materials, requests more information if needed, visits the applying institution, and writes a fact-finding report, which is submitted to Admissions, Education, and Licensing Committee. The Committee when appointed will consist of:

- A representative from an ABA-approved paralegal program.
- A representative from a non-ABA approved paralegal program.
- A representative from the State Board of Community and Technical Colleges.
- An LLLT Board member.
- An additional person who may be an LLLT, paralegal, or anyone else appointed by the LLLT Board Chair.

No more than two members of the Site Team will be members of the Admissions, Education, and Licensing Committee.

Anticipated Commitment: The Committee will be appointed and will meet ad hoc as necessary to review applications. When formed, individuals are expected to conduct a thorough review of application materials, meet at least once as a group to review the application, schedule and attend an in-person site visit, and develop a fact-finding report.

NAME	E-MAIL	Participant Type
Bill Covington, Chair	covinw@uw.edu	Appointed by the LLLT Board Chair
Stephanie Delaney	stephanie.delaney@seattlecolleges.edu	Representative from a non-ABA approved paralegal
Kendra Hodgson	khodgson@sbctc.edu	Representative from the State Board of Community and
Andrea Jarmon	jarmonlaw@hotmail.com	LLLT Board member
Bobby Wheeler	BWHEELER@highline.edu	Representative from an ABA-approved paralegal program
WSBA STAFF		
Renata de Carvalho Garcia Innovative Licensing Programs Manager	renatag@wsba.org	



Joe Terrenzio LLLT Program Lead	joet@wsba.org	
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2018 Discipline Committee Roster

Description: The Committee is governed by and performs the functions described in the Enforcement of Limited License Legal Technician Conduct Rules (ELLLTC) and those delegated by the LLLT Board Chair. The Committee is 3-5 members appointed by the LLLT Board Chair, who does not serve on the Committee.

Anticipated Commitment: The Committee meets at times and places as necessary to review grievances filed against LLLTs under the ELLLTC.

NAME	E-MAIL	Participant Type
Vacant, Chair		
Vacant		
Vacant		
WSBA STAFF		
Renata de Carvalho Garcia Innovative Licensing Programs Manager	renatag@wsba.org	
Joe Terrenzio LLLT Program Lead	joet@wsba.org	



2018 Family Law Exam Workgroup Roster

Description: The Workgroup reviews the multiple choice, essay, and performance exam components of the LLLT Family Law Practice Area Exam. The Workgroup revises materials written by a third party exam writing company, Ergometrics. After the exam, the Workgroup grades the essays and performance exams.

Anticipated Commitment: The Workgroup meets at least 4-6 times each year. One or two meetings occur before each exam to review questions drafted by Ergometrics and provide subject matter feedback. Members are expected to work independently between meetings to revise draft materials. After the exam, Workgroup members will grade the essays and the performance exam according to grading guidelines created by Ergometrics then meet once to review the results for accuracy and consistency.

NAME	E-MAIL	Participant Type
Nancy Ivarinen, Chair	nancy@ncilegal.com	LLLT Board Member
Guadalupe (Lupe) Artiga	Lupea@nwjustice.org	Public Workgroup Member
Rita Bender	rbender@skellengerbender.com	Public Workgroup Member
Jeanne Dawes	jjdawes@goregrewe.com	LLLT Board Member
Lynn Fleischbein	lkf@lmflaw.com	LLLT Board Member
Gail Hammer	hammerg@gonzaga.edu	LLLT Board Member
Andrea Jarmon	jarmonlaw@hotmail.com	LLLT Board Member
Lianne Malloy	LianneM@ATG.WA.GOV	Public Workgroup Member
Ruth Walsh McIntyre	druth1@nwi.net	LLLT Board Member
Jennifer Petersen	jen@saalawoffice.com	LLLT Board Member
WSBA STAFF		
Renata de Carvalho Garcia RSD Innovative Licensing Programs Manager	renatag@wsba.org	



Joe Terrenzio
LLLT Program Lead

joet@wsba.org



2018 Family Law Practice Area Workgroup Roster

Description: The Workgroup reviews the APR and the scope of the Family Law Practice Area. It suggests changes to scope or curriculum based on developments in the practice of family law. It considers enhancements to the Family Law Practice Area and develops any continuing legal education requirements and changes to practice area education necessary because of those enhancements.

Anticipated Commitment: The frequency of meetings varies depending on developments in the practice area. The workgroup will meet at least twice each year to review the practice area and any developments. While creating any potential enhancements or rule changes, the workgroup will meet monthly with members expected to perform individual research and writing between meetings.

NAME	E-MAIL	Participant Type
Nancy Ivarinen, Chair	nancy@ncilegal.com	LLLT Board Member
Rita Bender	rbender@skellengerbender.com	Public Workgroup Member
Jeanne Dawes	jjdawes@goregrewe.com	LLLT Board Member
Gail Hammer	hammerg@gonzaga.edu	LLLT Board Member
Andrea Jarmon	jarmonlaw@hotmail.com	LLLT Board Member
Ruth Walsh McIntyre	druth1@nwi.net	LLLT Board Member
Jennifer Petersen	jen@saalawoffice.com	LLLT Board Member
WSBA STAFF		
Renata de Carvalho Garcia RSD Innovative Licensing Programs Manager	renatag@wsba.org	
Joe Terrenzio LLLT Program Lead	joet@wsba.org	



2018 Nominations Committee Roster

Description: The Committee reviews applications for LLLT Board positions. As necessary, the Committee recruits applicants for Board positions and drafts any needed changes to rules regarding Board composition.

Anticipated Commitment: The Committee meets at least twice year; once to discuss and plan for Board recruitment and once to review submitted nominations.

NAME	E-MAIL	Participant Type
Brenda Cothary, Chair	bcothary@msn.com	LLLT Board Member
Nancy Ivarinen	nancy@ncilegal.com	LLLT Board Member
Amy Riedel	ariedel@whatcom.edu	LLLT Board Member
WSBA STAFF		
Renata de Carvalho Garcia Innovative Licensing Programs Manager	renatag@wsba.org	
Joe Terrenzio LLLT Program Lead	joet@wsba.org	



Signing Authority on Trust Accounts

The Committee on Professional Ethics (CPE) reviewed the LLLT RPCs and has a question about LLLT signing authority on trust accounts. The language in question appears in the lawyer and LLLT RPC 1.15A(h)(9):

Only an LLLT or a lawyer admitted to practice law may be an authorized signatory on the account. If an LLLT is associated in a practice with one or more lawyers, any check or other instrument requiring a signature must be signed by a signatory lawyer in the firm.

The CPE notes this language 1) makes it so a LLLT who is a member of a law firm cannot sign a trust account check for that firm, however, 2) a LLLT who is not a member of a law firm could be a signatory on the firm's trust account. This could happen if a solo practitioner wanted to have an independent LLLT be a signatory on the lawyer's trust account as a "back-up" in the event the lawyer became disabled or died. The CPE wonders if this result was intended.

Doug Ende reviewed the question and noted that the LLLT Board's RPC Committee drafted this provision with the first in mind but not necessarily the second. On point 1, the Committee considered that a LLLT should not be the sole signatory on a trust account at a firm jointly owned with a lawyer because the LLLT could become responsible for disposition of funds in situations requiring the delivery of legal services beyond the scope of the LLLT license. There was also a concern that it could put the LLLT in the position of being assigned to administer the trust account in order for the ethical risk of trust account errors to be borne by the LLLT alone rather than lawyers at a firm.

The intent was not to permit a non-firm LLLT to be a signatory on an otherwise lawyer-only trust account.

If the LLLT Board wants to revisit the language and allow a LLLT to be the sole signatory on trust accounts for firms that include lawyers, 1.15A(h)(9) can be deleted. If the LLLT Board wants to retain the prohibition, the language could be amended to make clear that a LLLT, whether associated in practice with a lawyer or not, cannot be the sole signatory on a trust account for a firm that includes lawyers. Amended language could read:

Only an LLLT or a lawyer admitted to practice law may be an authorized signatory on the account. If an LLLT is associated in a practice with one or more lawyers, any check or other instrument requiring a signature must be signed by a signatory lawyer in the firm.

A LLLT cannot be the sole signatory on a trust account for a firm that includes lawyers.

From: Doug Ende
Sent: Tuesday, August 29, 2017 5:23 PM
To: Steve Crossland
Cc: Paula Littlewood; Jean McElroy; Renata Garcia
Subject: RE: LLLT Signing Authority on Trust Accounts

Steve:

The provision at issue was drafted by the LLLT Board's RPC Drafting Committee to address particular concerns in the context of lawyers and LLLTs practicing at the same firm. One concern was that a LLLT should not be the sole signatory on a trust account at such a firm because the LLLT could become responsible for disposition of funds in situations requiring the delivery of legal services beyond the scope of the LLLT license. Additionally, there was a concern that it could put the LLLT in the position of being assigned to administer the trust account in order for the ethical risk of trust account errors to be borne by the LLLT alone rather than lawyers at a firm.

So I would say there is not a "mistake" in that sentence, rather it was drafted advertently to prevent a LLLT from being a sole signatory in combined LLLT-lawyer firms.

True, it was not the intent of the sentence to anomalously permit a non-firm LLLT to be a signatory on an otherwise lawyer-only trust account, and to the extent that the language would permit this, there may be a drafting gap.

The solution, however, would not be to strike the sentence. That would achieve the opposite of the LLLT Board's intent in order to address a rare anomaly. The fix would be to make it clear that a LLLT, whether associated in practice with a lawyer or not, cannot be the sole signatory on a trust account for a firm that includes lawyers.

On the other hand, if the LLLT Board wants to revisit its position and is OK with the idea of LLLTs being sole signatories for firms that include lawyers, then there is not a problem with striking the sentence. (In that case, LLLT RPC 1.15A(h)(9) would also have to be amended accordingly.)

I hope this makes sense. Let me know if you need additional information.



Douglas J. Ende | Chief Disciplinary Counsel | Office of Disciplinary Counsel

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From: Steve Crossland [<mailto:steve@crosslandlaw.net>]
Sent: Monday, August 28, 2017 2:39 PM
To: Doug Ende; Paula Littlewood; Jean McElroy; Renata Garcia
Subject: FW: LLLT Signing Authority on Trust Accounts

Thought I would get the impression of those of you before I forward on to the LLLT Board.

From: Mark Fucile [<mailto:mark@frllp.com>]
Sent: Monday, August 28, 2017 9:28 AM
To: Steve Crossland <steve@crosslandlaw.net>
Cc: J. Curran <jdcvlg@dctpw.com>; Anne Seidel <anne@anneseidel.com>; Jeanne Clavere <jeannec@wsba.org>; Darlene Neumann <darlenen@wsba.org>
Subject: LLLT Signing Authority on Trust Accounts

Steve,

Hope all is well!

The Committee on Professional Ethics received a question about the signing authority of retired lawyers on trust accounts (when, for example, the retired lawyer is continuing to receive a stream of income from an L&I settlement).

In the course of our review of that issue, we discovered an anomaly in the wording of the trust account rule as it applies to LLLTs that we wanted to bring to the attention of the LLLT Board. I have attached a memo approved by the CPE at its meeting last Friday outlining this issue. In brief, it appears that under the wording of the current rule, a LLLT who is a member of a law firm cannot sign a trust account check, but, at least in theory, a LLLT who is not a member of a law firm could nonetheless be a signatory on the firm's trust account. This might occur, for example, if a solo practitioner wanted to have an independent LLLT be a signatory on the lawyer's trust account as a "back-up" in the event the lawyer became disabled or died.

Anne Seidel is heading the CPE Subcommittee working on the general issue of signing authority and I have copied her.

I have also copied Don Curran, who is our incoming CPE chair.

The CPE would greatly appreciate the LLLT Board's thoughts on the wording involved.

The CPE is happy to answer any questions or to provide any input that the LLLT would find helpful on this issue.

Best regards,

Mark

Mark J. Fucile

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**LIMITED LICENSE LEGAL TECHNICIAN RULES OF PROFESSIONAL CONDUCT
(LLLT RPC)**

Table of Rules

Fundamental Principles of Professional Conduct for ~~an LLLT~~ a LLLT.

PREAMBLE AND SCOPE

Preamble: ~~An LLLT~~ a LLLT's Responsibilities.

Scope.

LLLT RPC

1.0A Terminology.

1.0B Additional Terminology.

TITLE 1. CLIENT-LLLT RELATIONSHIP

1.1 Competence.

1.2 Scope of Representation and Allocation of Authority between Client and LLLT.

1.3 Diligence.

1.4 Communication.

1.5 Fees.

1.6 Confidentiality of Information.

1.7 Conflict of Interest: ~~-~~ Current Clients.

1.8 Conflict of Interest: ~~-~~ Current Clients: ~~-~~ Specific Rules.

1.9 Duties to Former Client.

1.10 Imputation of Conflicts of Interest: ~~-~~ General Rule.

1.11 Special Conflicts of Interest for Former and Current Government Officers and Employees.

1.12 Former Judge, Arbitrator, Mediator, or Other Third-Party Neutral.

1.13 [Reserved].

- |
- 1.14 Client with Diminished Capacity.
 - 1.15A Safeguarding Property.
 - 1.15B Required Trust Account Records.
 - 1.16 Declining or Terminating Representation.
 - 1.17 Sale of Law Practice.
 - 1.18 Duties of Prospective Client.

TITLE 2. COUNSELOR

- 2.1 Advisor.
- 2.2 [Reserved].
- 2.3 [Reserved].
- 2.4 LLLT Serving as Third-Party Neutral.

TITLE 3. ADVOCATE

- 3.1 Advising and Assisting Clients in Proceedings before a Tribunal.
- 3.2 [Reserved].
- 3.3 [Reserved].
- 3.4 [Reserved].
- 3.5 [Reserved].
- 3.6 [Reserved].
- 3.7 [Reserved].
- 3.8 [Reserved].
- 3.9 [Reserved].

TITLE 4. TRANSACTIONS WITH PERSONS OTHER THAN CLIENTS

- 4.1 Truthfulness in Statements to Others.

- 4.2 Communication with Person Represented by Lawyer.
- 4.3 Dealing with Person Not Represented by Lawyer.
- 4.4 Respect for Rights of Third Persons.

TITLE 5. LAW FIRMS AND ASSOCIATIONS

- 5.1 Responsibilities of Partners, Managers, and Supervisory LLLTs.
- 5.2 Responsibilities of a Subordinate LLLT.
- 5.3 Responsibilities Regarding Non-LLLT Assistants.
- 5.4 Professional Independence of ~~an LLLT~~ an LLLT.
- 5.5 Unauthorized Practice of Law.
- 5.6 Restrictions on Right to Practice.
- 5.7 Responsibilities Regarding Law-Related Services.
- 5.8 Misconduct Involving LLLTs and Lawyers Not Actively Licensed to Practice Law.
- 5.9 Business Structures Involving LLLT and Lawyer Ownership.

TITLE 6. PUBLIC SERVICE

- 6.1 Pro Bono Publico Service.
- 6.2 [Reserved].
- 6.3 Membership in Legal Services Organization.
- 6.4 Law Reform Activities Affecting Client Interests.
- 6.5 Nonprofit and Court-Annexed Limited Legal Service Programs.

TITLE 7. INFORMATION ABOUT LEGAL SERVICES

- 7.1 Communications Concerning ~~an LLLT~~ an LLLT's Services.
- 7.2 Advertising.
- 7.3 Direct Contact with Prospective Clients.

7.4 Communication of Fields of Practice and Specialization.

7.5 Firm Names and Letterheads.

7.6 Political Contributions to Obtain Government Legal Engagements or Appointments by Judges.

TITLE 8. MAINTAINING THE INTEGRITY OF THE PROFESSION

8.1 Limited Licensure and Disciplinary Matters.

8.2 Judicial and Legal Officials.

8.3 Reporting Professional Misconduct.

8.4 Misconduct.

8.5 Disciplinary Authority.

APPENDIX. [RESERVED].

FUNDAMENTAL PRINCIPLES OF PROFESSIONAL CONDUCT FOR ~~AN-LLLT~~ LLLT*

The continued existence of a free and democratic society depends upon recognition of the concept that justice is based upon the rule of law grounded in respect for the dignity of the individual and the capacity through reason for enlightened self-government.—Law so grounded makes justice possible, for only through such law does the dignity of the individual attain respect and protection.—Without it, individual rights become subject to unrestrained power, respect for law is destroyed, and rational self-government is impossible.

Lawyers, as guardians of the law, play a vital role in the preservation of society. LLLTs, within the scope of their limited licenses to deliver legal services, also play a significant role.—The fulfillment of the LLLT's role requires an understanding of their relationship with and function in our legal system.—A consequent obligation of LLLTs is to maintain the highest standards of ethical conduct.

In fulfilling professional responsibilities, ~~an-LLLT~~a LLLT may provide services consistent with the authorized scope of his or her practice that require the performance of many difficult tasks.—Not every situation that ~~an-LLLT~~a LLLT may encounter can be foreseen, but fundamental ethical principles are always present as guidelines.

The Rules of Professional Conduct for LLLTs point the way for the LLLT who aspires to the highest level of ethical conduct, and provide standards by which to judge the transgressor. Each LLLT must find within his or her own conscience the touchstone against which to test the extent to which his or her actions should rise above minimum standards.—But in the last

analysis it is the desire for the respect and confidence of the members of the legal profession, including LLLTs and the society that LLLTs serve, that should provide to ~~an LLLTa LLLT~~ the incentive for the highest possible degree of ethical conduct.—The possible loss of that respect and confidence is the ultimate sanction.

* These Fundamental Principles of the Rules of Professional Conduct are taken from the former Preamble to the Rules of Professional Conduct for lawyers as approved and adopted by the Supreme Court in 1985.—Washington lawyers and judges have looked to the 1985 Preamble of the Rules of Professional Conduct as a statement of our overarching aspiration to faithfully serve the best interests of the public, the legal system, and the efficient administration of justice. The former Preamble is preserved here to inspire LLLTs to strive for the highest possible degree of ethical conduct, and these Fundamental Principles should inform many of our decisions as LLLTs.—The Fundamental Principles do not, however, alter any of the obligations expressly set forth in the Rules of Professional Conduct, nor are they intended to affect in any way the manner in which the Rules are to be interpreted or applied.

PREAMBLE AND SCOPE

PREAMBLE:—~~AN LLLTA LLLT'S RESPONSIBILITIES~~

[1] ~~An LLLTa LLLT~~ is authorized to provide limited legal services that lie within the scope of the practice that the LLLT is licensed to undertake.—Within that scope, ~~an LLLTa LLLT~~ is a member of the legal profession, is a representative of clients, and has a special responsibility for the quality of justice.

[2] As a representative of clients within a limited scope, ~~an LLLTa LLLT~~ performs various functions.—As advisor, ~~an LLLTa LLLT~~ provides a client with an informed understanding of the client's legal rights and obligations and explains their practical implications.—As an evaluator, ~~an LLLTa LLLT~~ acts by examining a client's legal affairs and reporting about them to the client or to others.—~~While an LLLT is not authorized to act as advocate or negotiator, an An LLLT to the extent a LLLT is allowed to act as an advocate or as a negotiator under APR 28, a LLLT conscientiously acts in the best interest of the client, and seeks a result that is advantageous to the client but consistent with the requirements of honest dealings with others.~~

[3] In addition to these limited representational functions, ~~an LLLTa LLLT~~ may serve as a third-party neutral, a nonrepresentational role helping the parties to resolve a dispute or other matter.—Some of these Rules apply directly to LLLTs who are or have served as third-party neutrals.—*See, e.g.*, Rules 1.12 and 2.4.—In addition, there are Rules that apply to LLLTs who are not active in the practice of law or to practicing LLLTs even when they are acting in a nonprofessional capacity.—For example, ~~an LLLTa LLLT~~ who commits fraud in the conduct of a business is subject to discipline for engaging in conduct involving dishonesty, fraud, deceit, or misrepresentation.—*See* Rule 8.4.

[4] In all professional functions ~~an LLLTa LLLT~~ should be competent, prompt, and diligent.—~~An LLLTA LLLT~~ should maintain communication with a client concerning the representation.—~~An LLLTA LLLT~~ should keep in confidence information relating to

Comment [JT1]: Added a new introductory clause to try and capture our discussion from 9/27. I also have a note that we may want to add the language, "unless specifically prohibited by a specific practice area."

representation of a client except so far as disclosure is required or permitted by the Rules of Professional Conduct for LLLTs.

[5] ~~An LLLTA LLLT~~'s conduct should conform to the requirements of the law, both in professional service to clients and in the LLLT's business and personal affairs.—~~An LLLTA LLLT~~ should use the law's procedures only for legitimate purposes and not to harass or intimidate others.—~~An LLLTA LLLT~~ should demonstrate respect for the legal system and for those who serve it, including judges, lawyers, other LLLTs, and public officials.

[6] As a member of the legal profession, ~~an LLLTa LLLT~~ should seek to improve access to the legal system, the administration of justice, and the quality of service rendered by the legal profession, and should also seek to strengthen legal education.—~~An LLLTA LLLT~~ should be mindful of deficiencies in the administration of justice and of the fact that the poor, and sometimes persons who are not poor, cannot afford adequate legal assistance.—Therefore, all LLLTs should devote professional time and resources to ensure equal access to our system of justice for all those who because of economic or social barriers cannot afford or secure adequate legal counsel.—~~An LLLTA LLLT~~ should aid the legal profession in pursuing these objectives and should help the legal profession regulate itself in the public interest.

[7] Many of ~~an LLLTa LLLT~~'s professional responsibilities are prescribed in these Rules of Professional Conduct for LLLTs, as well as substantive and procedural law to the extent applicable to LLLTs.—However, ~~an LLLTa LLLT~~ is also guided by personal conscience and the approbation of lawyers, clients, and professional peers.—Within the authorized scope of ~~an LLLTa LLLT~~'s practice, the LLLT should strive to attain the highest level of skill and to exemplify the legal profession's ideals of public service.

[8] ~~An LLLTA LLLT~~'s responsibilities as a limited-scope representative of clients and as a public citizen are usually harmonious.—Thus, ~~an LLLTa LLLT~~ can be sure that preserving client confidences ordinarily serves the public interest because people are more likely to seek legal advice, and thereby heed their legal obligations, when they know their communications will be private.

[9] Notwithstanding the limited scope of authority of ~~an LLLTa LLLT~~, however, conflicting responsibilities are encountered.—Virtually all difficult ethical problems arise from conflict between ~~an LLLTa LLLT~~'s responsibilities to clients, to the legal system, and to the LLLT's own interest in remaining an ethical person while earning a satisfactory living.—The Rules of Professional Conduct for LLLTs often prescribe terms for resolving such conflicts.—Within the framework of these Rules, however, many difficult issues of professional discretion can arise. Such issues must be resolved through the exercise of sensitive professional and moral judgment guided by the basic principles underlying the Rules.

[10] The legal profession is largely self-governing.—Although other professions also have been granted powers of self-government, the legal profession is unique in this respect because of the close relationship between the profession and the processes of government and law enforcement.—This connection is manifested in the fact that ultimate authority over the legal profession is vested largely in the courts.

[11] To the extent that LLLTs meet the obligations of their professional calling, the occasion for government regulation is obviated.—Self-regulation also helps maintain the legal profession's independence from government domination.—An independent legal profession is an important force in preserving government under law, for abuse of legal authority is more readily challenged by a profession whose members are not dependent on government for the right to practice.

[12] The legal profession's relative autonomy carries with it special responsibilities of self-government.—The profession has a responsibility to assure that its regulations are conceived in the public interest and not in furtherance of parochial or self-interested concerns.—Every LLLT is responsible for observance of the Rules of Professional Conduct for LLLTs.—An LLLT should also aid in securing their observance by other legal practitioners.—Neglect of these responsibilities compromises the independence of the profession and the public interest which it serves.

[13] LLLTs are obliged to understand their relationship to our legal system.—The Rules of Professional Conduct for LLLTs, when properly applied, serve to define that relationship.

SCOPE

[14] The Rules of Professional Conduct for LLLTs are rules of reason.—They should be interpreted with reference to the purposes of legal representation (within the LLLT's authorized scope of practice) and of the law itself.—Some of the Rules are imperatives, cast in the terms "shall" or "shall not." These define proper conduct for purposes of professional discipline. Others, generally cast in the term "may" are permissive and define areas under the Rules in which the LLLT has discretion to exercise professional judgment.—No disciplinary action should be taken when the LLLT chooses not to act or acts within the bounds of such discretion. Other rules define the nature of relationships between the LLLT and others.—The Rules are thus partly obligatory and disciplinary and partly constitutive and descriptive in that they define an LLLT's professional role.—Many of the Comments use the term "should."—Comments do not add obligations to the Rules but provide guidance for practicing in compliance with the Rules.

[15] The Rules presuppose a context in which the LLLT's role has been or will be shaped. That context includes court rules relating to matters of licensure, laws defining specific authorization and obligations of LLLTs, and substantive and procedural law in general.—The Comments are sometimes used to alert LLLTs to their responsibilities under such other law.

[16] Compliance with the Rules, as with all law in an open society, depends primarily upon understanding and voluntary compliance, secondarily upon reinforcement by lawyer, client, peer, and public opinion, and finally, when necessary, upon enforcement through disciplinary proceedings.—The Rules do not, however, exhaust the moral and ethical considerations that should inform an LLLT, for no worthwhile human activity can be completely defined by legal rules.—The Rules simply provide a framework for the ethical practice of law within the authorized scope of an LLLT's practice.

[17] For purposes of determining the LLLT's authority and responsibility, principles of substantive law external to these Rules determine whether a client-LLLT relationship exists. Most of the duties flowing from the client-LLLT relationship attach only after the client-LLLT relationship is formed.—But there are some duties, such as that of confidentiality under Rule 1.6, that may attach when the LLLT agrees to consider whether a client-LLLT relationship shall be established.—See Lawyer RPC 1.18 and Washington Comment [11] thereto.—Whether a client-LLLT relationship exists for any specific purpose can depend on the circumstances and is a question of fact.

[18] [Reserved.]

[19] Failure to comply with an obligation or prohibition imposed by a Rule is a basis for invoking the disciplinary process.—The Rules presuppose that disciplinary assessment of ~~an LLLT~~ LLLT's conduct will be made on the basis of the facts and circumstances as they existed at the time of the conduct in question and in recognition of the fact that ~~an LLLT~~ LLLT often has to act upon uncertain or incomplete evidence of the situation.—Moreover, the Rules presuppose that whether or not discipline should be imposed for a violation, and the severity of a sanction, depend on all the circumstances, such as the willfulness and seriousness of the violation, extenuating factors, and whether there have been previous violations.

[20] Violation of a Rule should not itself give rise to a cause of action against ~~an LLLT~~ LLLT, nor should it create any presumption in such a case that a legal duty has been breached. The Rules are designed to provide guidance to LLLTs and to provide a structure for regulating conduct through disciplinary agencies.—They are not designed to be a basis for civil liability. The fact that a Rule is a just basis for ~~an LLLT~~ LLLT's self-assessment, or for sanctioning ~~an LLLT~~ LLLT under the administration of a disciplinary authority, does not imply that a party who is adverse to ~~an LLLT~~ LLLT's client in any proceeding or transaction has standing to seek enforcement of the Rule.—Nevertheless, since the Rules do establish standards of conduct by LLLTs, ~~an LLLT~~ LLLT's violation of a Rule may be evidence of breach of the applicable standard of conduct.

[21] The Comment accompanying each Rule explains and illustrates the meaning and purpose of the Rule.—The Preamble and this note on Scope provide general orientation.—The Comments are intended as guides to interpretation, but the text of each Rule is authoritative.

Additional Washington Comments (22 - 25)

[22] Nothing in these Rules is intended to change existing Washington law on the use of the Rules of Professional Conduct in a civil action, see *Hizey v. Carpenter*, 119 Wn.2d 251, 830 P.2d 646 (1992), or to suggest how that law applies to the obligations of LLLTs.—See also APR 28(K)(1).

[23] The Rules of Professional Conduct for LLLTs are modeled on Washington's Rules of Professional Conduct for lawyers (Lawyer RPC).—The structure of these Rules, like the Lawyer RPC, generally parallels the structure of the American Bar Association's Model Rules of

Professional Conduct.—When an entire provision that appears in the Lawyer RPC is deleted for purposes of these Rules, the deletion is signaled by the phrase "Reserved."—The reservation of a rule or portion of a rule that appears in the Lawyer RPC does not necessarily mean that the conduct of ~~an LLLTa LLLT~~ in that area is unregulated; the conduct may be regulated under APR 28 or another rule.—Should a situation arise where a rule or portion of a rule is reserved but the counterpart rule in the Lawyer RPC addresses the conduct, the LLLT should look to the relevant Lawyer RPC and comments to that rule for guidance.—In general, when a Rule has a counterpart in the Lawyer RPC, the comments to that Lawyer RPC may be looked to as a guide to interpretation of that Rule to the extent that both the Lawyer RPC and the LLLT RPC are substantially similar and the content of the comments is applicable to the conduct of ~~an LLLTa LLLT~~.

[24] Comment [18] of Scope is reserved.—The corresponding Comment of the Lawyer RPC relates to the specific role and authority of certain lawyers in government service, and is not applicable to the professional role of ~~an LLLTa LLLT~~.

[25] The Fundamental Principles of Professional Conduct and the Preamble and Scope sections of these Rules were adapted from the corresponding parts of the Lawyer RPC with only minor modifications.—These provisions express the role of ~~an LLLTa LLLT~~ as a legal professional acting within the justice system.—With the exception of the reservation of Comment [18], modifications relate to the limited scope of ~~an LLLTa LLLT~~'s license to deliver legal services, and the corresponding limitations on the role that ~~an LLLTa LLLT~~ will have in the development of certain aspects of the legal profession, such as advocacy and development of the common law.

LLLT RPC 1.0A TERMINOLOGY

(a) "Belief" or "believes" denotes that the person involved actually supposed the fact in question to be true.—A person's belief may be inferred from circumstances.

(b) "Confirmed in writing," when used in reference to the informed consent of a person, denotes informed consent that is given in writing by the person or a writing that ~~an LLLTa LLLT~~ promptly transmits to the person confirming an oral informed consent.—See paragraph (e) for the definition of "informed consent."—If it is not feasible to obtain or transmit the writing at the time the person gives informed consent, then the LLLT must obtain or transmit it within a reasonable time thereafter.

(c) "Firm" or "law firm" denotes a lawyer, lawyers, ~~an LLLTa LLLT~~, LLLTs, or any combination thereof in a law partnership, professional corporation, sole proprietorship, or other association authorized to practice law; or lawyers or LLLTs employed in a legal services organization or the legal department of a corporation or other organization.

(d) "Fraud" or "fraudulent" denotes conduct that has a purpose to deceive and is fraudulent under the substantive or procedural law of the applicable jurisdiction, except that it is not necessary that anyone has suffered damages or relied on the misrepresentation or failure to inform.

(e) "Informed consent" denotes the agreement by a person to a proposed course of conduct after the LLLT has communicated adequate information and explanation about the material risks of and reasonably available alternatives to the proposed course of conduct.

(f) "Knowingly," "known," or "knows" denotes actual knowledge of the fact in question. A person's knowledge may be inferred from circumstances.

(g) "Partner" denotes a member of a partnership, a shareholder in a law firm organized as a professional corporation, or a member of an association authorized to practice law.

(h) "Reasonable" or "reasonably" when used in relation to conduct by ~~an LLLT~~ LLLT denotes the conduct of a reasonably prudent and competent LLLT.

(i) "Reasonable belief" or "reasonably believes" when used in reference to ~~an LLLT~~ LLLT denotes that the LLLT believes the matter in question and that the circumstances are such that the belief is reasonable.

(j) "Reasonably should know" when used in reference to ~~an LLLT~~ LLLT denotes that ~~an LLLT~~ LLLT of reasonable prudence and competence would ascertain the matter in question.

(k) "Screened" denotes the isolation of ~~an LLLT~~ LLLT or a lawyer from any participation in a matter through the timely imposition of procedures within a firm that are reasonably adequate under the circumstances to protect information that the isolated LLLT or lawyer is obligated to protect under these Rules, the Lawyer RPC, or other law.

(l) "Substantial" when used in reference to degree or extent denotes a material matter of clear and weighty importance.

(m) "Tribunal" denotes a court, an arbitrator in a binding arbitration proceeding, or legislative body, administrative agency, or other body acting in an adjudicative capacity.—A legislative body, administrative agency, or other body acts in an adjudicative capacity when a neutral official, after the presentation of evidence or legal argument by a party or parties, will render a binding legal judgment directly affecting a party's interests in a particular matter.

(n) "Writing" or "written" denotes a tangible or electronic record of a communication or representation, including handwriting, typewriting, printing, photostating, photography, audio or videorecording, and e-mail.—A "signed" writing includes an electronic sound, symbol, or process attached to or logically associated with a writing and executed or adopted by a person with the intent to sign the writing.

LLLT RPC 1.0B ADDITIONAL TERMINOLOGY

(a) "APR" denotes the Washington Supreme Court's Admission ~~to~~ and Practice Rules.

(b) "GR" denotes the Washington Supreme Court's General Rules.

(c) "Lawyer" denotes a person licensed and eligible to practice law in any United States jurisdiction.

(d) "Lawyer RPC" denotes the Washington Supreme Court's Rules of Professional Conduct for lawyers.

(e) "Legal practitioner" denotes a lawyer or a limited license legal technician licensed under APR 28.

(f) "Limited License Legal Technician" or "LLLT" denotes a person qualified by education, training, and work experience who is authorized to engage in the limited practice of law in approved practice areas of law as specified by APR 28 and related regulations. ~~The LLLT does not represent the client in court proceedings or negotiations, but provides limited legal assistance as set forth in APR 28 to a pro se client.~~

(g) ~~LLLT RECELLLT~~ denotes the Washington Supreme Court's [Enforcement of Limited License Legal Technician Rules for Enforcement of Conduct Rules](#).

(h) "Representation" or "represent," when used in connection with the provision of legal assistance by ~~an LLLT~~ [an LLLT](#), denotes limited legal assistance as set forth in APR 28 to a pro se client.

Comment

[1] Rule 1.0A was adapted from Lawyer RPC 1.0 with no substantive changes and applies to LLLTs analogously. ~~Rule 1.0B adds terms that require definitions in light of the licensing of LLLTs as legal practitioners in Washington.~~

[2] The definition of the term "lawyer" is taken from APR 28(B). ~~When used in the LLLT RPC, however, the term is used to denote a lawyer who is acting within the scope of the lawyer's license and in accordance with the Lawyer RPC. So, for example, the authorization in Rule 5.9 to enter into a law partnership with a lawyer requires that the lawyer is admitted and authorized to practice in the State of Washington.~~

[3] The terms "firm" and "law firm" are used interchangeably in the Lawyer RPC and also in these Rules. ~~An LLLT should be cautious, however, in using the words "law firm" to describe a law practice that includes only LLLTs. The name and description of an LLLT's practice should not imply that a lawyer is associated with the firm unless that is the case. Rule 7.5(a) requires that any firm name used for an LLLT practice that does not include a lawyer include the words "Legal Technician."~~

TITLE 1. CLIENT-LLLT RELATIONSHIP LLLT RPC 1.1 COMPETENCE

~~An LLLTA LLLT~~ shall provide competent representation to a client.—Competent representation requires the legal knowledge, skill, thoroughness, and preparation reasonably necessary for the representation.

Comment

[1] Rule 1.1 was adapted from Lawyer RPC 1.1 with no substantive changes and applies to LLLTs analogously.

LLLT RPC 1.2 SCOPE OF REPRESENTATION AND ALLOCATION OF AUTHORITY BETWEEN CLIENT AND LLLT

(a) Subject to paragraphs (c), (d), and (g), ~~an LLLTa LLLT~~ shall abide by a client's decisions concerning the objectives of representation and, as required by Rule 1.4, shall consult with the client as to the means by which they are to be pursued.—~~An LLLTA LLLT~~ may take such action on behalf of the client as is impliedly authorized to carry out the representation. An LLLTA LLLT shall abide by a client's decision whether to settle a matter.

(b) ~~An LLLTA LLLT~~'s representation of a client does not constitute an endorsement of the client's political, economic, social, or moral views or activities.

(c) ~~An LLLTA LLLT~~ must limit the scope of the representation and provide disclosures informing a potential client as required by these Rules.

(d) ~~An LLLTA LLLT~~ shall not counsel a client to engage, or assist a client, in conduct that the LLLT knows is criminal or fraudulent.

(e) [Reserved.]

(f) ~~An LLLTA LLLT~~ shall not purport to act as ~~an LLLTa LLLT~~ for any person or organization if the LLLT knows or reasonably should know that the LLLT is acting without the authority of that person or organization and beyond his or her authorized scope of practice, unless the LLLT is authorized or required to so act by law or a court order.

(g) Nothing in this Rule expands ~~an LLLTa LLLT~~'s authorized scope of practice provided in APR 28.

Comment

[1] Rule 1.2 was adapted from Lawyer RPC 1.2 with changes to reflect the limited scope of practice authorized by APR 28.—Otherwise, it applies to LLLTs analogously.

[2] ~~Negotiation on behalf of a client and representation in court are beyond the authorized scope of an LLLT's practice.—See APR 28(H).—Accordingly,~~ Paragraph (a) was modified from the Lawyer RPC to exclude references to ~~settlements and~~ criminal cases, and paragraph (d) was modified from the Lawyer RPC to exclude (and therefore prohibit) ~~an LLLTa LLLT~~ from discussing with a client the legal consequences of any proposed criminal or fraudulent conduct and assisting a client in determining the validity, scope, meaning, or application of the law with

respect to any such conduct.—In circumstances where a client has engaged or may engage in conduct that the LLLT knows is criminal or fraudulent, the LLLT shall not provide services related to such conduct and shall inform the client that the client should seek the services of a lawyer.

[3] Unlike a lawyer, ~~an LLLTa LLLT~~ may perform only limited services for a client. ~~Under APR 28G(3), b~~ Before performing any services for a fee, ~~an LLLTa LLLT~~ must enter into a written contract with the client ~~as required by APR 28(G)(2), signed by both the client and the LLLT, that includes the following:~~ (a) ~~an explanation of the services to be performed, including a conspicuous statement that the LLLT may not appear or represent the client in court, formal administrative adjudicative proceedings, or other formal dispute resolution process, or negotiate the client's legal rights or responsibilities, unless permitted under GR 24(b);~~ (b) ~~identification of all fees and costs to be charged to the client for the services to be performed;~~ (c) ~~a statement that upon the client's request, the LLLT shall provide to the client any documents submitted by the client to the LLLT;~~ (d) ~~a statement that the LLLT is not a lawyer and may only perform limited legal services (this statement shall be on the first page of the contract in minimum twelve point bold type print);~~ (e) ~~a statement describing the LLLT's duty to protect the confidentiality of information provided by the client and the LLLT's work product associated with the services sought or provided by the LLLT;~~ (f) ~~a statement that the client has the right to rescind the contract at any time and receive a full refund of unearned fees (this statement shall be conspicuously set forth in the contract);~~ and (g) ~~any other conditions to the LLLT's services that are required by the rules and regulations of the Limited License Legal Technician Board.~~

[4] Additional requirements concerning the authorized scope of ~~an LLLTa LLLT~~'s practice are imposed by APR 28(F).—~~An LLLTa LLLT~~ must ascertain whether the issue is within the defined practice area for which the LLLT is licensed.—~~If not, the LLLT shall not provide the services required~~ render any legal assistance on the issue and must ~~inform~~ advise the client ~~to that the client should~~ seek the services of a lawyer.—~~If the issue does lie within the defined practice area for which the LLLT is licensed, then the LLLT is authorized to undertake~~ render the services that are enumerated in APR 28(F).—~~Those services include only the following:~~ (a) ~~obtain relevant facts and explain the relevancy of such information to the client;~~ (b) ~~inform the client of applicable procedures, including deadlines, documents which must be filed, and the anticipated course of the legal proceeding;~~ (c) ~~inform the client of applicable procedures for proper service of process and filing of legal documents;~~ (d) ~~provide the client with self help materials prepared by a Washington lawyer or approved by the Limited License Legal Technician Board, which contain information about relevant legal requirements, case law basis for the client's claim, and venue and jurisdiction requirements;~~ (e) ~~review documents or exhibits that the client has received from the opposing side, and explain them to the client;~~ (f) ~~select, complete, file, and effect service of forms that have been approved by the State of Washington, either through a governmental agency or by the Administrative Office of the Courts or the content of which is specified by statute; federal forms; forms prepared by a Washington lawyer; or forms approved by the Limited License Legal Technician Board; and advise the client of the significance of the selected forms to the client's case;~~ (g) ~~perform legal research;~~ (h) ~~draft legal letters and documents beyond what is permitted in (f) if the work is reviewed and approved by a Washington lawyer;~~ (i) ~~advise a client as to other documents that may be necessary to the client's~~

~~case, and explain how such additional documents or pleadings may affect the client's case; and (j) assist the client in obtaining necessary documents, such as birth, death, or marriage certificates.~~

[5] ~~An LLLTa LLLT must personally perform the authorized services for the client and may not delegate those services to a person who is not either an LLLTa LLLT or a lawyer. This prohibition, however, does not prevent a person who is neither an LLLTa LLLT nor a lawyer from performing translation services.~~ APR 28(G)(21).

[6] ~~An LLLTa LLLT may not provide services that exceed the scope of the LLLT's authority under APR 28. If an issue arises for which the client needs services that exceed the scope of the LLLT's authority, the LLLT must inform that client that the client should seek the services of a lawyer.~~ APR 28(G)(53).

~~[7] A document that is prepared by an LLLT for the client's signature shall include the LLLT's name, signature and license number beneath the signature of the client. APR 28(G)(5). [Reserved]~~

[8] Certain conduct and services are specifically prohibited to an LLLTa LLLT by APR 28(H). ~~In the course of dealing with clients or prospective clients, an LLLT shall not: (a) make any statement that the LLLT can or will obtain special favors from or has special influence with any court or governmental agency; (b) retain any fees or costs for services not performed; (c) refuse to return documents supplied by, prepared by, or paid for by the client, upon the request of the client (the documents must be returned upon request even if there is a fee dispute between the LLLT and the client); (d) represent or advertise, in connection with the provision of services, other legal titles or credentials that could cause a client to believe that the LLLT possesses professional legal skills beyond those authorized by the license held by the LLLT; (e) represent a client in court proceedings, formal administrative adjudicative proceedings, or other formal dispute resolution process, unless permitted by GR 24; (f) negotiate a client's legal rights or responsibilities, or communicate with another person the client's position or convey to the client the position of another party; unless permitted by GR 24(b); (g) provide services to a client in connection with a legal matter in another state, unless permitted by the laws of that state to perform such services for the client; (h) represent or otherwise provide legal or law related services to a client, except as permitted by law, APR 28, or associated rules and regulations; or (i) otherwise violate these Rules.~~

LLLT RPC 1.3 DILIGENCE

~~An LLLTa LLLT shall act with reasonable diligence and promptness in representing a client.~~

Comment

[1] Rule 1.3 was adapted from Lawyer RPC 1.3 with no substantive changes and applies to LLLTs analogously. ~~See also Comment [5] to Rule 1.2.~~

LLLT RPC 1.4 COMMUNICATION

- |
- | (a) ~~An LLLTA~~ LLLT shall:
- (1) promptly inform the client of any decision or circumstance with respect to which the client's informed consent, as defined in Rule 1.0(e), is required by these Rules;
 - (2) reasonably consult with the client about the means by which the client's objectives are to be accomplished;
 - (3) keep the client reasonably informed about the status of the matter;
 - (4) promptly comply with reasonable requests for information; and
 - (5) consult with the client about any relevant limitation on the LLLT's conduct when the LLLT knows that the client expects assistance not permitted by the LLLT RPC or other law.
- | (b) ~~An LLLTA~~ LLLT shall explain a matter to the extent reasonably necessary to permit the client to make informed decisions regarding the representation.

Comment

[1] Rule 1.4 was adapted from Lawyer RPC 1.4 with no substantive changes and applies to LLLTs analogously.

LLLT RPC 1.5 FEES

- | (a) ~~An LLLTA~~ LLLT shall not make an agreement for, charge, or collect an unreasonable fee or an unreasonable amount for expenses.—The factors to be considered in determining the reasonableness of a fee include the following:
- (1) the time and labor required, the novelty and difficulty of the questions involved, and the skill requisite to perform the legal service properly;
 - (2) the likelihood, if apparent to the client, that the acceptance of the particular employment will preclude other employment by the LLLT;
 - (3) the fee customarily charged in the locality for similar legal services;
 - (4) the amount involved and the results obtained;
 - (5) the time limitations imposed by the client or by the circumstances;
 - (6) the nature and length of the professional relationship with the client;

- (7) the experience, reputation, and ability of the LLLT or LLLTs performing the services;
- (8) whether the fee is fixed or hourly; and
- (9) the terms of the fee agreement between the LLLT and the client, including whether the fee agreement or confirming writing demonstrates that the client had received a reasonable and fair disclosure of material elements of the fee agreement and of the LLLT's billing practices.

(b) The scope of the representation and the basis or rate of the fee and expenses for which the client will be responsible shall be communicated to the client, in writing, before commencing the representation.— Upon the request of the client in any matter, the LLLT shall communicate to the client in writing the basis or rate of the fee.

(c) [Reserved.]

(d) ~~An LLLTA LLLT~~ shall not enter into an arrangement for, charge, or collect any fee, the payment or amount of which is contingent upon the outcome of the case.

(e) ~~An LLLTA LLLT~~ may not enter into an arrangement for the division of a fee with another LLLT or lawyer who is not in the same firm as the LLLT.

(f) Fees and expenses paid in advance of performance of services shall comply with Rule 1.15A, subject to the following exceptions:

(1) [Reserved.]

(2) ~~An LLLTA LLLT~~ may charge a flat fee for specified legal services, which constitutes complete payment for those services and is paid in whole or in part in advance of the LLLT providing the services.— A flat fee must be agreed to in advance in a writing signed by the client.— The written agreement may specify that the flat fee is the LLLT's property on receipt, in which case the fee shall not be deposited into a trust account under Rule 1.15A.— To qualify for the exception from the requirements of Rule 1.15A, the written fee agreement shall, in a manner that can easily be understood by the client, include the following: (i) the scope of the services to be provided; (ii) the total amount of the fee and the terms of payment; (iii) that the fee is the LLLT's property immediately on receipt and will not be placed into a trust account; (iv) that the fee agreement does not alter the client's right to terminate the client-LLLT relationship; and (v) that the client may be entitled to a refund of a portion of the fee if the agreed-upon legal services have not been completed.— A statement in substantially the following form satisfies this requirement:

[LLLT/law firm] agrees to provide, for a flat fee of \$_____, the following services: _____.— The flat

fee shall be paid as follows:
_____. Upon [LLLT's/law firm's] receipt of all or any portion of the flat fee, the funds are the property of [LLLT/law firm] and will not be placed in a trust account. The fact that you have paid your fee in advance does not affect your right to terminate the client-LLLT relationship. In the event our relationship is terminated before the agreed-upon legal services have been completed, you may or may not have a right to a refund of a portion of the fee.

- (3) In the event of a dispute relating to a fee under paragraph (f)(2) of this Rule, the LLLT shall take reasonable and prompt action to resolve the dispute.

Comment

[1] Rule 1.5 was adapted from Lawyer RPC 1.5 with changes to reflect the limited scope of ~~an LLLTa LLLT~~'s authorized practice and special requirements imposed by APR 28. Otherwise, it applies to LLLTs analogously.

[2] ~~An LLLTA LLLT~~, unlike a lawyer, is prohibited from entering into a contingent fee or retainer agreement with a client. Lawyer RPC 1.5(c) and 1.5(f)(1) address contingent fees and retainers respectively. Accordingly, paragraphs (c) and (f)(1) are reserved under this Rule. Reservation of such paragraphs, however, is not intended to prohibit ~~an LLLTa LLLT~~ from being apportioned a part of a fee earned by a lawyer under a contingent fee or retainer arrangement when the LLLT and the lawyer are associated in a for profit business relationship authorized under Rule 5.9.

[3] Under the circumstances specified in Lawyer RPC 1.5(e), a lawyer may agree to a division of a fee either with another lawyer who is not in the same firm or with an authorized lawyer referral service. By contrast, paragraph (e) of this Rule categorically prohibits ~~an LLLTa LLLT~~ from dividing a fee. ~~An LLLTA LLLT~~ may pay the usual charges of ~~an LLLTa LLLT~~ referral service. See Rule 7.2(e).

[4] Unlike a lawyer, ~~an LLLTa LLLT~~ is required by APR 28(G)(~~32~~) to enter into a written contract with the client before the LLLT begins to perform any services for a fee that includes, among other things, identification of all fees and costs to be charged to the client for the services to be performed. The provisions concerning a flat fee described in (f)(2) of this Rule, if applicable, should be included in that contract. The contract must be signed by both the client and the LLLT before the LLLT begins to perform any services for a fee. ~~See Comment [2] to Rule 1.2 for other provisions that are to be included in the contract.~~

[5] ~~An LLLTA LLLT~~ is ordinarily prohibited from modifying the written contract with the client that is required by APR 28(G)(~~32~~). Courts have applied the provisions of RPC 1.8(a) to modifications or renegotiations of fee arrangements by lawyers made during the representation of a client when the modified or renegotiated terms are more favorable to the lawyer than originally agreed upon. See, e.g., *Valley/50th Ave., LLC v. Stewart*, 159 Wn.2d 736, 743-44, 153 P.3d 186, 189 (2007); *Rafel Law Grp. PLLC v. Defoor*, 176 Wn.-App. 210, 223-24, 308 P.3d 767, 775 (2013), *review denied*, 179 Wn.2d 1011, 316 P.3d 495 (2014). Under these

Comment [JT2]: We removed the referenced comment's list of requirements quoted from the APR so we should remove this reference

Rules, business transactions between LLLTs and clients are prohibited. *See* Rule 1.8(a). Accordingly, any changes in the basis or rate of ~~an LLLT's~~ fee that benefit the LLLT must be identified in the initial contract. *See also* Comment [8] to Rule 1.2.

LLLT RPC 1.6 CONFIDENTIALITY OF INFORMATION

(a) ~~An LLLT~~ 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) ~~An LLLT~~ to the extent the LLLT reasonably believes necessary:

- (1) shall reveal information relating to the representation of a client to prevent reasonably certain death or substantial bodily harm;
- (2) may reveal information relating to the representation of a client to prevent the client from committing a crime;
- (3) may reveal information relating to the representation of a client 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 in furtherance of which the client has used the LLLT's services;
- (4) may reveal information relating to the representation of a client to secure legal advice about the LLLT's compliance with these Rules;
- (5) may reveal information relating to the representation of a client to establish a claim or defense on behalf of the LLLT in a controversy between the LLLT and the client, to establish a defense to a criminal charge or civil claim against the LLLT based upon conduct in which the client was involved, or to respond to allegations in any proceeding concerning the LLLT's representation of the client;
- (6) may reveal information relating to the representation of a client to comply with a court order; or
- (7) may reveal information relating to the representation of a client to inform a tribunal about any breach of fiduciary responsibility when the client is serving as a court appointed fiduciary such as a guardian, personal representative, or receiver.

Comment

[1] Rule 1.6 was adapted from Lawyer RPC 1.6 with no substantive changes and applies to LLLTs analogously.

[2] Under APR 28(K)(3) the Washington law of attorney-client privilege extends to LLLTs “to the same extent as it would apply to an attorney-client relationship.” In communicating the existence or scope of this privilege to a client, a LLLT must take steps to ensure that the client understands the LLLT’s role and to avoid any impression that the LLLT is serving as a lawyer in the matter.

LLLT RPC 1.7 CONFLICT OF INTEREST: CURRENT CLIENTS

(a) Except as provided in paragraph (b), ~~an LLLT~~ a LLLT shall not represent a client if the representation involves a concurrent conflict of interest. A concurrent conflict of interest exists if:

- (1) the representation of one client will be directly adverse to another client; or
- (2) there is a significant risk that the representation of one or more clients will be materially limited by the LLLT’s responsibilities to another client, a former client, or a third person or by a personal interest of the LLLT.

(b) Notwithstanding the existence of a concurrent conflict of interest under paragraph (a), ~~an LLLT~~ a LLLT may represent a client if:

- (1) the LLLT reasonably believes that the LLLT will be able to provide competent and diligent representation to each affected client;
- (2) the representation is not prohibited by law;
- (3) the representation does not involve the assertion of a claim by one client against another client represented by the LLLT with respect to the same litigation or other proceeding before a tribunal; and
- (4) each affected client gives informed consent, confirmed in writing (following authorization from the other client to make any required disclosures).

Comment

[1] Rule 1.7 was adapted from Lawyer RPC 1.7 with no substantive changes and applies to LLLTs analogously.

[2] Under no circumstances may ~~an LLLT~~ a LLLT represent more than one party in any domestic relations matter. See Appendix APR 28 Regulation 2.

LLLT RPC 1.8 CONFLICT OF INTEREST: CURRENT CLIENTS: SPECIFIC RULES

- |
- | (a) ~~An LLLTA LLLT~~ shall not enter into a business transaction with a current client.
 - | (b) ~~An LLLTA LLLT~~ shall not use information relating to representation of a client to the disadvantage of the client unless the client gives informed consent, except as permitted or required by these Rules.
 - | (c) ~~An LLLTA LLLT~~ shall not solicit any substantial gift from a client, including a testamentary gift, or prepare on behalf of the client an instrument giving the LLLT or a person related to the LLLT any substantial gift unless the LLLT or other recipient of the gift is related to the client. For purposes of this paragraph, related persons include spouse, child, grandchild, parent, grandparent or other relative or individual with whom the LLLT or the client maintains a close, familial relationship.
 - | (d) Prior to the conclusion of representation of a client, ~~an LLLTa LLLT~~ shall not make or negotiate an agreement giving the LLLT literary or media rights to a portrayal or account based in substantial part on information relating to the representation.
 - | (e) ~~An LLLTA LLLT~~ shall not, while representing a client in connection with contemplated or pending litigation, advance or guarantee financial assistance to a client, except that:
 - | (1) ~~an LLLTa LLLT~~ may advance or guarantee the expenses of litigation, including court costs, expenses of investigation, expenses of medical examination, and costs of obtaining and presenting evidence, provided the client remains ultimately liable for such expenses.
 - | (2) [Reserved.]
 - | (f) ~~An LLLTA LLLT~~ shall not accept compensation for representing a client from one other than the client unless:
 - (1) the client gives informed consent;
 - (2) there is no interference with the LLLT's independence of professional judgment or with the client-LLLT relationship; and
 - (3) information relating to representation of a client is protected as required by Rule 1.6.
 - | (g) [Reserved.]
 - | (h) ~~An LLLTA LLLT~~ shall not:
 - (1) make an agreement prospectively limiting the LLLT's liability to a client for malpractice; or

- (2) settle a claim or potential claim for such liability with an unrepresented client or former client unless that person is advised in writing of the desirability of seeking and is given a reasonable opportunity to seek the advice of an independent lawyer in connection therewith.

(i) ~~An LLLTA LLLT~~ shall not acquire a proprietary interest in the cause of action or subject matter of litigation in which the LLLT is assisting a client.

(j) ~~An LLLTA LLLT~~ shall not:

- (1) have sexual relations with a current client of the LLLT unless a consensual sexual relationship existed between them at the time the client-LLLT relationship commenced; or
- (2) have sexual relations with a representative of a current client if the sexual relations would, or would likely, damage or prejudice the client in the representation.
- (3) For purposes of Rule 1.8(j), "LLLT" means any LLLT who assists in the representation of the client, but does not include other LLLT members of a firm with which the LLLT is associated if those other LLLTs provide no such assistance.

(k) Except as otherwise provided in these Rules,

- (1) while LLLTs are associated in a firm with other LLLTs, a prohibition in the foregoing paragraphs (a) through (i) that applies to any one of them shall apply to all of them; and
- (2) while LLLTs and lawyers are associated in a firm, the prohibitions in Lawyer RPC 1.8(a) through (i) that apply to any lawyer shall apply to any LLLT, and the prohibitions in the foregoing paragraphs (a), (h), and (i) shall not apply to any lawyers unless the conduct is otherwise prohibited by the Lawyer RPC.

(l) ~~An LLLTA LLLT~~ who is related to another LLLT or a lawyer as parent, child, sibling, or spouse, or who has any other close familial or intimate relationship with another LLLT or lawyer, shall not represent a client in a matter directly adverse to a person who the LLLT knows is represented by the related LLLT or lawyer unless:

- (1) the client gives informed consent to the representation; and
- (2) the representation is not otherwise prohibited by Rule 1.7.

(m) [Reserved.]

Comment

- [1] This Rule was adapted from Lawyer RPC 1.8 with modifications described in these Comments.—Otherwise, it applies to LLLTs analogously.
- [2] Under limited and defined circumstances, Lawyer RPC 1.8(a) permits a lawyer to enter into a business transaction with a client, or to acquire a property interest adverse to a client.—Because of the limitations on the scope of ~~an LLLTa~~ LLLT's authorized practice, the analysis and disclosures that suffice under Lawyer RPC 1.8(a) to enable a lawyer to enter into such a transaction despite the existence of a conflict of interest are not feasible in the client-LLLT relationship. For this reason, LLLT RPC 1.8(a) strictly prohibits ~~an LLLTa~~ LLLT from entering into any business transaction with a current client.
- [3] ~~LLLTs may not advocate for, or appear in court on behalf of, a client.~~—LLLTs will have no role in class action litigation and Rule 1.8(e)(2) is accordingly reserved in this Rule.—LLLT RPC 1.8(e) does not authorize activities that are beyond the scope of the LLLT's limited license.—Nothing in Rule 1.8(e) is intended to prohibit lawyer members of a firm with which ~~an LLLTa~~ LLLT is associated from engaging in conduct permitted by Lawyer RPC 1.8(e)(2).
- [4] Rule 1.8(g) is reserved.—LLLTs ~~are not permitted to do not~~ engage in the making of aggregate settlements, or aggregated agreements as to guilty or nolo contendere pleas in criminal cases.—Nothing in Rule 1.8(g) is intended to prohibit lawyer members of a firm with which ~~an LLLTa~~ LLLT is associated from participating in such settlements if permitted by the Lawyer RPC.
- [5] Unlike a lawyer, ~~an LLLTa~~ LLLT is strictly prohibited by Rule 1.8(h)(1) from making any agreement that prospectively limits the LLLT's liability to the client for malpractice.
- [6] A client or former client of ~~an LLLTa~~ LLLT who is not represented by a lawyer is unrepresented for purposes of Rule 1.8(h)(2).
- [7] Unlike a lawyer, ~~an LLLTa~~ LLLT is prohibited by Rule 1.8(i) from acquiring any proprietary interest in a client's cause of action or the subject matter of litigation.
- [8] If one LLLT or lawyer in a firm has a conflict of interest specified under this Rule, other LLLTs and lawyers in the firm may, under some circumstances, have the same conflict of interest or be subject to the same prohibition.—This is called imputation of a conflict of interest.—Similarly, in a firm that includes both LLLTs and lawyers, a conflict of interest of a lawyer will, under some circumstances, be imputed to ~~an LLLTa~~ LLLT in the firm.—Rule 1.8(k) describes the imputations of Rule 1.8 conflicts in a firm.

- [9] Rule 1.8(m) is reserved. LLLTs are not permitted to engage in the scope of practice anticipated by Lawyer RPC 1.8(m). ~~The reservation of Rule 1.8(m) in these Rules is not intended to prohibit lawyer members of a firm with which an LLLT~~ a LLLT is associated from engaging in the scope of practice described in Rule 1.8(m) of the Lawyer RPC.

LLLT RPC 1.9 DUTIES TO FORMER CLIENTS

- (a) ~~An LLLT~~ a LLLT who has formerly represented a client in a matter shall not thereafter represent another person in the same or a substantially related matter in which that person's interests are materially adverse to the interests of the former client unless the former client gives informed consent, confirmed in writing.
- (b) ~~An LLLT~~ a LLLT shall not knowingly represent a person in the same or a substantially related matter in which a firm with which the LLLT formerly was associated had previously represented a client
- (1) whose interests are materially adverse to that person; and
 - (2) about whom that LLLT had acquired information protected by Rules 1.6 and 1.9(c) that is material to the matter; unless the former client gives informed consent, confirmed in writing.
- (c) ~~An LLLT~~ a LLLT who has formerly represented a client in a matter or whose present or former firm has formerly represented a client in a matter shall not thereafter:
- (1) use information relating to the representation to the disadvantage of the former client except as these Rules would permit or require with respect to a client, or when the information has become generally known; or
 - (2) reveal information relating to the representation except as these Rules would permit or require with respect to a client.

Comment

[1] Rule 1.9 was adapted from Lawyer RPC 1.9 with no substantive changes and applies to LLLTs analogously.

LLLT RPC 1.10 IMPUTATION OF CONFLICTS OF INTEREST: ~~GENERAL RULE~~

(a) Except as provided in paragraph (e), while LLLTs are associated in a firm, none of them shall knowingly represent a client when any one of them practicing alone would be prohibited from doing so by Rules 1.7 or 1.9, unless the prohibition is based on a personal interest of the disqualified LLLT and does not present a significant risk of materially limiting the representation of the client by the remaining LLLTs in the firm.

(b) When ~~an LLLT~~ a LLLT has terminated an association with a firm, the firm is not prohibited from thereafter representing a person with interests materially adverse to those of a client represented by the formerly associated LLLT and not currently represented by the firm, unless:

- (1) the matter is the same or substantially related to that in which the formerly associated LLLT represented the client; and
- (2) any LLLT remaining in the firm has information that is material to the matter and that is protected by Rules 1.6 and 1.9(c).

(c) A disqualification prescribed by this Rule may be waived by the affected client under the conditions stated in Rule 1.7.

(d) The disqualification of LLLTs associated in a firm with former or current government LLLTs is governed by Rule 1.11.

(e) When the prohibition on representation under paragraph (a) is based on Rule 1.9(a) or

(b) —and arises out of the disqualified LLLT's association with a prior firm, no other LLLT in the firm shall knowingly represent a person in a matter in which that LLLT is disqualified unless:

- (1) the personally disqualified LLLT is screened by effective means from participation in the matter and is apportioned no part of the fee therefrom;
- (2) the former client of the personally disqualified LLLT receives notice of the conflict and the screening mechanism used to prohibit dissemination of information relating to the former representation;
- (3) the firm is able to demonstrate by convincing evidence that no material information relating to the former representation was transmitted by the personally disqualified LLLT before implementation of the screening mechanism and notice to the former client.

Any presumption that information protected by Rules 1.6 and 1.9(c) has been or will be transmitted may be rebutted if the personally disqualified LLLT serves on his or her former firm and former client an affidavit attesting that the personally disqualified LLLT will not participate in the matter and will not discuss the matter or the representation with any other LLLT or employee of his or her current firm, and attesting that during the period of the LLLT's personal disqualification those LLLTs, or employees who do participate in the matter will be apprised that the personally disqualified LLLT is screened from participating in or discussing the matter.—Such affidavit shall describe the procedures being used effectively to screen the personally disqualified LLLT.—Upon request of the former client, such affidavit shall be updated periodically to show actual

compliance with the screening procedures.—The firm, the personally disqualified LLLT, or the former client may seek judicial review in a court of general jurisdiction of the screening mechanism used, or may seek court supervision to ensure that implementation of the screening procedures has occurred and that effective actual compliance has been achieved.

(f) When LLLTs and lawyers are associated in a firm, a lawyer's conflict of interest under Lawyer RPC 1.7 or Lawyer RPC 1.9 is imputed to LLLTs in the firm in the same way as conflicts are imputed to LLLTs under this Rule.—Each of the other provisions of this Rule also applies in the same way when lawyer conflicts are imputed to LLLTs in the firm.

Comment

[1] Rule 1.10 was adapted from Lawyer RPC 1.10 with no substantive changes except to reflect the fact that LLLTs and lawyers may practice in a firm together.—The general rules concerning imputation of conflicts of interest apply to LLLTs and firms in which both LLLTs and lawyers are associated analogously.

LLLT RPC 1.11 SPECIAL CONFLICTS OF INTEREST FOR FORMER AND CURRENT GOVERNMENT OFFICERS AND EMPLOYEES

(a) Except as law may otherwise expressly permit, ~~an LLLT~~ a LLLT who has formerly served as a public officer or employee of the government:

- (1) is subject to Rule 1.9(c); and
- (2) shall not otherwise represent a client in connection with a matter in which the LLLT participated personally and substantially as a public officer or employee, unless the appropriate government agency gives its informed consent, confirmed in writing, to the representation.

(b) When ~~an LLLT~~ a LLLT or lawyer is disqualified from representation under paragraph (a) of this Rule or Lawyer RPC 1.11, no LLLT in a firm with which that LLLT or lawyer is associated may knowingly undertake or continue representation in such a matter unless:

- (1) the disqualified LLLT or lawyer is timely screened from any participation in the matter and is apportioned no part of the fee therefrom; and
- (2) written notice is promptly given to the appropriate government agency to enable it to ascertain compliance with the provisions of this Rule.

(c) Except as law may otherwise expressly permit, ~~an LLLT~~ a LLLT having information that the LLLT knows is confidential government information about a person acquired when the LLLT was a public officer or employee, may not represent a private client whose interests are adverse to that person in a matter in which the information could be used to the material disadvantage of that person. As used in this Rule the term "confidential government

information" means information that has been obtained under governmental authority and which, at the time this Rule is applied, the government is prohibited by law from disclosing to the public or has a legal privilege not to disclose and which is not otherwise available to the public.—A firm with which that LLLT is associated may undertake or continue representation in the matter only if the disqualified LLLT is screened from any participation in the matter and is apportioned no part of the fee therefrom.

(d) Except as law may otherwise expressly permit, ~~an LLLT~~ an LLLT currently serving as a public officer or employee:

- (1) is subject to Rules 1.7 and 1.9; and
- (2) shall not:
 - (i) participate in a matter in which the LLLT participated personally and substantially while in private practice or nongovernmental employment, unless the appropriate government agency gives its informed consent, confirmed writing; or
 - (ii) negotiate for private employment with any person who is involved as a party or as LLLT for a party in a matter in which the LLLT is participating personally and substantially, except that ~~an LLLT~~ an LLLT who may otherwise be serving as a law clerk to a judge, other adjudicative officer or arbitrator may negotiate for private employment as permitted by Rule 1.12(b) and subject to the conditions stated in Rule 1.12(b).

(e) As used in this Rule, the term "matter" includes:

- (1) any judicial or other proceeding, application, request for a ruling or other determination, contract, claim, controversy, investigation, charge, accusation, arrest, or other particular matter involving a specific party or parties; and
- (2) any other matter covered by the conflict of interest rules of the appropriate government agency.

Comment

[1] Rule 1.11 was adapted from Lawyer RPC 1.11 with no substantive changes except to reflect the fact that LLLTs and lawyers may practice in a firm together.—This Rule applies to LLLTs and firms in which both LLLTs and lawyers are associated analogously.

LLLT RPC 1.12 FORMER JUDGE, ARBITRATOR, MEDIATOR OR OTHER THIRD-PARTY NEUTRAL

(a) Except as stated in paragraph (d), ~~an LLLT~~ shall not represent anyone in connection with a matter in which the LLLT participated personally and substantially as a judge or other adjudicative officer or law clerk to such a person or as an arbitrator, mediator, or other third-party neutral, unless all parties to the proceeding give informed consent confirmed in writing.

(b) ~~An LLLT~~ shall not negotiate for employment with any person who is involved as a party or as LLLT for a party in a matter in which the LLLT is participating personally and substantially as a judge or other adjudicative officer or as an arbitrator, mediator, or other third-party neutral. ~~An LLLT~~ serving as a law clerk to a judge or other adjudicative officer may negotiate for employment with a party or LLLT involved in a matter in which the clerk is participating personally and substantially, but only after the LLLT has notified the judge or other adjudicative officer.

(c) If ~~an LLLT~~ or lawyer is disqualified by paragraph (a) of this Rule or Lawyer RPC 1.12, no LLLT in a firm with which that LLLT or lawyer is associated may knowingly undertake or continue representation in the matter unless:

- (1) the disqualified LLLT or lawyer is timely screened from any participation in the matter and is apportioned no part of the fee therefrom; and
- (2) written notice is promptly given to the parties and any appropriate tribunal to enable them to ascertain compliance with the provisions of this Rule.

(d) An arbitrator selected as a partisan of a party in a multimember arbitration panel is not prohibited from subsequently representing that party.

Comment

[1] Rule 1.12 was adapted from Lawyer RPC 1.12 with no substantive changes.—This Rule applies to LLLTs and firms in which both LLLTs and lawyers are associated analogously.

LLLT RPC 1.13

[Reserved]

Comment

[1] At present, the authorized scope of LLLT practice does not contemplate representation of an organization.

LLLT RPC 1.14 CLIENT WITH DIMINISHED CAPACITY

(a) When a client's capacity to make adequately considered decisions in connection with a representation is diminished, whether because of minority, mental impairment or for some other reason, the LLLT shall, as far as reasonably possible, maintain a normal client-LLLT relationship with the client.

(b) When the LLLT reasonably believes that the client has diminished capacity, is at risk of substantial physical, financial, or other harm unless action is taken and cannot adequately act in the client's own interest, the LLLT may take reasonably necessary protective action, including consulting with individuals or entities that have the ability to take action to protect the client. In taking any protective action under this Rule, the LLLT shall not exceed the LLLT's authorized scope of practice.

(c) Information relating to the representation of a client with diminished capacity is protected by Rule 1.6.—When taking protective action pursuant to paragraph (b), the LLLT is impliedly authorized under Rule 1.6(a) to reveal information about the client, but only to the extent reasonably necessary to protect the client's interests.

Comment

[1] Rule 1.14 was adapted from Lawyer RPC 1.14 with no substantive changes except in Rule 1.14(b).—Otherwise, this Rule applies to LLLTs analogously.

[2] Unlike Lawyer RPC 1.14, Rule 1.14(b) does not suggest seeking the appointment of a guardian ad litem, conservator or guardian.—Those actions contemplate court appearances and knowledge of multiple areas of law which may exceed the authorized scope of ~~an LLLTa~~ LLLT's practice.—Accordingly, that language from Lawyer Rule 1.14(b) has been omitted from this Rule.

[3] Protective action taken by ~~an LLLTa~~ LLLT under paragraph (b) of this Rule may include obtaining the services of a lawyer.—~~An LLLTa~~ LLLT should proceed cautiously when independently undertaking protective action on behalf of a person with diminished capacity, and the LLLT should carefully evaluate and weigh all the circumstances and options.—For a discussion of potential protective actions and relevant considerations, see Lawyer RPC 1.14, Comments [5] - [7].

LLLT RPC 1.15A SAFEGUARDING PROPERTY

(a) This Rule applies to property of clients or third persons in ~~an LLLTa~~ LLLT's possession in connection with a representation.

(b) ~~An LLLTa~~ LLLT must not use, convert, borrow, or pledge client or third person property for the LLLT's own use.

(c) ~~An LLLTa~~ LLLT must hold property of clients and third persons separate from the LLLT's own property.

(1) ~~An LLLTa~~ LLLT must deposit and hold in a trust account funds subject to this Rule pursuant to paragraph (h) of this Rule.

(2) Except as provided in Rule 1.5(f), and subject to the requirements of paragraph (h) of this Rule, ~~an LLLTa~~ LLLT shall deposit into a trust account legal fees and

expenses that have been paid in advance, to be withdrawn by the LLLT only as fees are earned or expenses incurred.

(3) ~~An LLLTA LLLT~~ must identify, label, and appropriately safeguard any property of clients or third persons other than funds. ~~—~~ The LLLT must keep records of such property that identify the property, the client or third person, the date of receipt, and the location of safekeeping. ~~—~~ The LLLT must preserve the records for seven years after return of the property.

(d) ~~An LLLTA LLLT~~ must promptly notify a client or third person of receipt of the client or third person's property.

(e) ~~An LLLTA LLLT~~ must promptly provide a written accounting to a client or third person after distribution of property or upon request. ~~An LLLTA LLLT~~ must provide at least annually a written accounting to a client or third person for whom the LLLT is holding funds.

(f) Except as stated in this Rule, ~~an LLLTa LLLT~~ must promptly pay or deliver to the client or third person the property which the client or third person is entitled to receive.

(g) If ~~an LLLTa LLLT~~ possesses property in which two or more persons (one of which may be the LLLT) claim interests, the LLLT must maintain the property in trust until the dispute is resolved. ~~—~~ The LLLT must promptly distribute all undisputed portions of the property. ~~—~~ The LLLT must take reasonable action to resolve the dispute.

(h) ~~An LLLTA LLLT~~ must comply with the following for all trust accounts:

(1) No funds belonging to the LLLT may be deposited or retained in a trust account except as follows:

(i) funds to pay bank charges, but only in an amount reasonably sufficient for that purpose;

(ii) funds belonging in part to a client or third person and in part presently or potentially to the LLLT must be deposited and retained in a trust account, but any portion belonging to the LLLT must be withdrawn at the earliest reasonable time; or

(iii) funds necessary to restore appropriate balances.

(2) ~~An LLLTA LLLT~~ must keep complete records as required by Rule 1.15B.

(3) ~~An LLLTA LLLT~~ may withdraw funds when necessary to pay client costs. ~~—~~ The LLLT may withdraw earned fees only after giving reasonable notice to the client of the intent to do so, through a billing statement or other document.

(4) Receipts must be deposited intact.

- (5) All withdrawals must be made only to a named payee and not to cash. Withdrawals must be made by check or by electronic transfer.
- (6) Trust account records must be reconciled as often as bank statements are generated or at least quarterly.—The LLLT must reconcile the check register balance to the bank statement balance and reconcile the check register balance to the combined total of all client ledger records required by Rule 1.15B(a)(2).
- (7) ~~An LLLTA LLLT~~ must not disburse funds from a trust account until deposits have cleared the banking process and been collected, unless the LLLT and the bank have a written agreement by which the LLLT personally guarantees all disbursements from the account without recourse to the trust account.
- (8) Disbursements on behalf of a client or third person may not exceed the funds of that person on deposit.—The funds of a client or third person must not be used on behalf of anyone else.
- (9) Only ~~an LLLTa LLLT~~ or a lawyer admitted to practice law may be an authorized signatory on the account.—If ~~an LLLTa LLLT~~ is associated in a practice with one or more lawyers, any check or other instrument requiring a signature must be signed by a signatory lawyer in the firm.

(i) Trust accounts must be interest-bearing and allow withdrawals or transfers without any delay other than notice periods that are required by law or regulation and meet the requirements of ~~LLLT REC~~Lawyer ELC 15.7(d) and ~~LLLT REC 15.7(e)~~.— In the exercise of ordinary prudence, ~~an LLLTa LLLT~~ may select any financial institution authorized by the Legal Foundation of Washington (Legal Foundation) under ~~lawyer LLLT REC~~ELC 15.7(c).— In selecting the type of trust account for the purpose of depositing and holding funds subject to this Rule, ~~an LLLTa LLLT~~ shall apply the following criteria:

- (1) When client or third-person funds will not produce a positive net return to the client or third person because the funds are nominal in amount or expected to be held for a short period of time the funds must be placed in a pooled interest-bearing trust account known as an Interest on Limited License Legal Technician's Trust Account or IOLTA.—The interest earned on IOLTA accounts shall be paid to, and the IOLTA program shall be administered by, the Legal Foundation of Washington in accordance with ~~LLLT REC~~ELLC 15.4 and ~~LLLT REC~~lawyer ELC-15.7(e).
- (2) Client or third-person funds that will produce a positive net return to the client or third person must be placed in one of the following two types of non-IOLTA trust accounts, unless the client or third person requests that the funds be deposited in an IOLTA account:

Comment [JT3]: ELLLC Title 15 is reserved except for 15.4. I have changed these references to be the Lawyer ELC

- (i) a separate interest-bearing trust account for the particular client or third person with earned interest paid to the client or third person; or
 - (ii) a pooled interest-bearing trust account with sub-accounting that allows for computation of interest earned by each client or third person's funds with the interest paid to the appropriate client or third person.
- (3) In determining whether to use the account specified in paragraph (i)(1) or an account specified in paragraph (i)(2), ~~an LLLTa LLLT~~ must consider only whether the funds will produce a positive net return to the client or third person, as determined by the following factors:
- (i) the amount of interest the funds would earn based on the current rate of interest and the expected period of deposit;
 - (ii) the cost of establishing and administering the account, including the cost of the LLLT's services and the cost of preparing any tax reports required for interest accruing to a client or third person's benefit; and
 - (iii) the capability of financial institutions to calculate and pay interest to individual clients or third persons if the account in paragraph (i)(2)(ii) is used.
- (4) The provisions of paragraph (i) do not relieve ~~an LLLTa LLLT~~ or law firm from any obligation imposed by these Rules or the ~~LLL REC ELLLTC~~.

~~(i)?~~

Comment

[1] Rule 1.15A was adapted from Lawyer RPC 1.15A with no substantive changes except to reflect limitations on the authorized scope of ~~an LLLTa LLLT~~'s practice.—Otherwise, this Rule applies to LLLTs analogously.—The Comments to Lawyer RPC 1.15A provide important guidance to the correct interpretation and application of this Rule.

[2] Lawyer RPC 1.15A(a) contemplates that lawyers may act as escrow agents for the closing of a purchase and sale of real estate or personal property, a practice area that is not contemplated by APR 28.—Accordingly, there is no counterpart in this Rule to Lawyer RPC 1.15A(a)(2).

LLL RPC 1.15B REQUIRED TRUST ACCOUNT RECORDS

(a) ~~An LLLTa LLLT~~ must maintain current trust account records.—They may be in electronic or manual form and must be retained for at least seven years after the events they record.—At minimum, the records must include the following:

- (1) Checkbook register or equivalent for each trust account, including entries for all receipts, disbursements, and transfers, and containing at least:

- |
- (i) identification of the client matter for which trust funds were received, disbursed, or transferred;
 - (ii) the date on which trust funds were received, disbursed, or transferred;
 - (iii) the check number for each disbursement;
 - (iv) the payor or payee for or from which trust funds were received, disbursed, or transferred; and
 - (v) the new trust account balance after each receipt, disbursement, or transfer;
- (2) Individual client ledger records containing either a separate page for each client or an equivalent electronic record showing all individual receipts, disbursements, or transfers, and also containing:
- (i) identification of the purpose for which trust funds were received, disbursed, or transferred;
 - (ii) the date on which trust funds were received, disbursed or transferred;
 - (iii) the check number for each disbursement;
 - (iv) the payor or payee for or from which trust funds were received, disbursed, or transferred; and
 - (v) the new client fund balance after each receipt, disbursement, or transfer;
- (3) Copies of any agreements pertaining to fees and costs;
- (4) Copies of any statements or accountings to clients or third parties showing the disbursement of funds to them or on their behalf;
- (5) Copies of bills for legal fees and expenses rendered to clients;
- (6) of invoices, bills, or other documents supporting all disbursements or transfers from the trust account;
- (7) Bank statements, copies of deposit slips, and cancelled checks or their equivalent;
- (8) Copies of all trust account bank and client ledger reconciliations; and

- (9) Copies of those portions of clients' files that are reasonably necessary for a complete understanding of the financial transactions pertaining to them.

(b) Upon any change in the LLLT's practice affecting the trust account, including dissolution or sale of a law firm or other entity, or suspension or other change in membership status, the LLLT must make appropriate arrangements for the maintenance of the records specified in this Rule.

Comment

[1] Rule 1.15B was adapted from Lawyer RPC 1.15B with no substantive changes and applies to LLLTs analogously.

LLLT RPC 1.16 DECLINING OR TERMINATING REPRESENTATION

(a) ~~An LLLTA LLLT~~ shall not represent a client or, where representation has commenced, shall withdraw from the representation of a client if:

- (1) the representation will result in violation of these Rules or other law;
- (2) the LLLT's physical or mental condition materially impairs the LLLT's ability to represent the client; or
- (3) the LLLT is discharged.

(b) ~~An LLLTA LLLT~~ may withdraw from representing a client if:

- (1) withdrawal can be accomplished without material adverse effect on the interests of the client;
- (2) the client persists in a course of action involving the LLLT's services that the LLLT reasonably believes is criminal or fraudulent;
- (3) the client has used the LLLT's services to perpetrate a crime or fraud;
- (4) the client insists upon taking action that the LLLT considers repugnant or with which the LLLT has a fundamental disagreement;
- (5) the client fails substantially to fulfill an obligation to the LLLT regarding the LLLT's services and has been given reasonable warning that the LLLT will withdraw unless the obligation is fulfilled;
- (6) the representation will result in an unreasonable financial burden on the LLLT or has been rendered unreasonably difficult by the client; or
- (7) other good cause for withdrawal exists.

(c) [Reserved.]

(d) Upon termination of representation, ~~an LLLT~~ a LLLT shall take steps to the extent reasonably practicable to protect a client's interests, such as giving reasonable notice to the client, allowing time for employment of a lawyer or another LLLT, surrendering papers and property to which the client is entitled, and refunding any advance payment of fee that has not been earned or incurred.

Comment

[1] This Rule was adapted from Lawyer RPC 1.16 with no substantive changes except to reflect the limited scope of representation that LLLTs provide to pro se clients. are not authorized to represent clients in court or to advocate for clients. ~~For this reason, paragraph (c) is reserved and references to litigation or proceedings before a tribunal that appear in Lawyer RPC 1.16 do not apply and have been omitted from this Rule.~~ Otherwise, this Rule applies to LLLTs analogously.

LLLT RPC 1.17 SALE OF LAW PRACTICE

~~An LLLT~~ A LLLT, firm of LLLTs, or a law firm with which one or more LLLTs are associated may sell or purchase a law practice, or an area of law practice, including good will, if the following conditions are satisfied:

(a) [Reserved.]

(b) The entire practice, or the entire area of practice, is sold to one or more LLLTs, lawyers, LLLT firms or law firms;

(c) The seller gives written notice to each of the seller's clients regarding:

- (1) the proposed sale;
- (2) the client's right to retain a lawyer or another LLLT or to take possession of the file; and
- (3) the fact that the client's consent to the transfer of the client's files will be presumed if the client does not take any action or does not otherwise object within ninety (90) days of receipt of the notice. ~~If a client cannot be given notice, the representation of that client may be transferred to the purchaser only upon entry of an order so authorizing by a court having jurisdiction.~~ ~~The seller may disclose to the court in camera information relating to the representation only to the extent necessary to obtain an order authorizing the transfer of a file.~~

(d) The ~~legal fees and LLLT fees~~ fees charged clients shall not be increased by reason of the sale.

Comment

[1] This Rule was adapted from Lawyer RPC 1.17 with no substantive changes except to reflect that ~~an LLLT~~ LLLT may practice in the same firm with one or more lawyers. Otherwise, this Rule applies to LLLTs analogously.

LLLT RPC 1.18 DUTIES TO PROSPECTIVE CLIENT

(a) A person who discusses with ~~an LLLT~~ LLLT the possibility of forming a client-LLLT relationship with respect to a matter is a prospective client.

(b) Even when no client-LLLT relationship ensues, ~~an LLLT~~ LLLT who has had discussions with a prospective client shall not use or reveal information learned in the consultation, except as Rule 1.9 would permit with respect to information of a former client or except as provided in paragraph (e).

(c) ~~An LLLT~~ LLLT subject to paragraph (b) shall not represent a client with interests materially adverse to those of a prospective client in the same or a substantially related matter if the LLLT received information from the prospective client that could be significantly harmful to that person in the matter, except as provided in paragraph (d) or (e). If ~~an LLLT~~ LLLT or lawyer is disqualified from representation under this paragraph or Lawyer RPC 1.18(c), no LLLT in a firm with which that LLLT or lawyer is associated may knowingly undertake or continue representation in such a matter, except as provided in paragraph (d) or, with respect to lawyers, Lawyer RPC 1.18(d).

(d) When the LLLT has received disqualifying information as defined in paragraph (c), representation is permissible if:

- (1) both the affected client and the prospective client have given informed consent, confirmed in writing, or:
- (2) the LLLT who received the information took reasonable measures to avoid exposure to more disqualifying information than was reasonably necessary to determine whether to represent the prospective client; and
 - (i) the disqualified LLLT is timely screened from any participation in the matter and is apportioned no part of the fee therefrom; and
 - (ii) written notice is promptly given to the prospective client.

(e) ~~An LLLT~~ LLLT may condition conversations with a prospective client on the person's informed consent that no information disclosed during the consultation will prohibit the LLLT from representing a different client in the matter.— The prospective client may also expressly consent to the LLLT's subsequent use of information received from the prospective client.

Comment

[1] This Rule was adapted from Lawyer RPC 1.18 with no substantive changes except to reflect that LLLTs and lawyers may practice in the same firm.—It applies to LLLTs and to firms in which both LLLTs and lawyers are associated analogously.

[2] The Comments to Lawyer RPC 1.18 offer valuable guidance to the correct interpretation and application of this Rule. In particular, Comment 2 to Lawyer RPC 1.18 explains application of this Rule to unsolicited and unilateral communications of information from a person who does not have a reasonable expectation that the LLLT is willing to discuss the possibility of forming a client-LLLT relationship.

TITLE 2.—COUNSELOR

LLLT RPC 2.1 ADVISOR

In representing a client, ~~an LLLTa LLLT~~ shall exercise independent professional judgment and render candid advice.—In rendering advice, ~~an LLLTa LLLT~~ may refer not only to law but to other considerations, such as moral, economic, social and political factors, that may be relevant to the client's situation.

Comment

[1] This Rule was adapted from Lawyer RPC 2.1 with no substantive changes and applies to LLLTs analogously.

[2] This Rule and its requirement regarding the exercise of independent professional judgment do not expand the limitations on the authorized scope of ~~an LLLTa LLLT~~'s practice under APR 28(H) and related regulations.

LLLT RPC 2.2 [Reserved]

LLLT RPC 2.3 [Reserved]

Comment

[1] Lawyer RPC 2.3 pertains to a lawyer providing an evaluation of a matter affecting a client for the use of someone other than the client. —Unlike lawyers, LLLTs are not authorized to communicate the client's position to third parties. ~~Drafting an opinion letter for the purposes of its use with a third party is the same as communicating the client's position to a third party and is prohibited by APR 28(H)(6).—These situations are rare. If one arises in a LLLT's authorized scope of practice under APR 28, a LLLT should look to lawyer RPC 2.3 for guidance. Accordingly, this Rule is reserved.~~

Comment [JT4]: I reserved 2.3 and modified the comment to capture our discussion on 10/4

LLLT RPC 2.4 LLLT SERVING AS THIRD-PARTY NEUTRAL

(a) ~~An LLLTA LLLT~~ serves as a third-party neutral when the LLLT assists two or more persons who are not clients of the LLLT to reach a resolution of a dispute or other matter that has arisen between them. ~~Service as a third-party neutral may include service as an arbitrator, a mediator, or in such other capacity as will enable the LLLT to assist the parties to resolve the matter.~~

(b) ~~An LLLTA LLLT~~ serving as a third-party neutral shall inform unrepresented parties that the LLLT is not representing them. ~~When the LLLT knows or reasonably should know that a party does not understand the LLLT's role in the matter, the LLLT shall explain the difference between the LLLT's role as a third-party neutral and ~~an LLLTa LLLT's~~ role as one who represents a client.~~

Comment

[1] This Rule was adapted from Lawyer RPC 2.4 with no substantive changes and applies to LLLTs analogously.

TITLE 3. ~~ADVOCATE~~ LLT RPC 3.1 ADVISING AND ASSISTING CLIENTS IN PROCEEDINGS BEFORE A TRIBUNAL

(a) In a matter reasonably related to a pending or potential proceeding before a tribunal, ~~an LLLTa LLLT~~ shall not engage, counsel a client to engage, or assist a client, in conduct involving:

- (1) an abuse of legal procedure, including asserting or controverting a position that is frivolous or lacks a good faith basis in law and fact;
- (2) delay of a proceeding without reasonable and substantial purpose;
- (3) submission of a false statement of fact or law to a tribunal or offering evidence known to be false;
- (4) obstruction of another party's access to evidence or the unlawful alteration, destruction, or concealment of a document or other material having potential evidentiary value;
- (5) falsification of evidence or assisting or inducing false testimony of a witness;
- (6) knowingly disobeying an obligation under the rules of a tribunal except for an open refusal based on an assertion that no valid obligation exists.; or
- (7) making frivolous discovery requests or failing to reasonably comply with legally proper discovery requests of an opposing party.

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(be) ~~An LLLTA LLLT~~ shall not seek to influence a judge, juror, prospective juror, or other official by means prohibited by law, communicate ex parte with such an individual unless authorized to do so by law or court order, or engage in conduct intended to disrupt a tribunal. ~~An LLLTA LLLT~~ shall not counsel or assist a client or another person to do such an act.

Comment

[1] This Rule is substantially different from Lawyer RPC 3.1 because the role of the LLLT is limited. LLLTs may be authorized within specific scopes of practice to accompany and assist clients in certain proceedings. Assistance may include responding to factual and procedural questions from the Court. LLLTs are not authorized to represent clients in the proceedings of a tribunal trials. Title 3 of the Lawyer RPC addresses a lawyer's duties as an advocate when representing a client in the proceedings of a tribunal. ~~Because APR 28(H)(5) expressly prohibits an LLLT from representing a client in a court or administrative adjudicative proceeding (unless permitted by GR 24), the Title 3 Rules do not apply directly to the conduct of LLLTs. Nevertheless, a number of the ethical principles located in Title 3 address conduct in connection with a proceeding that would be improper and repugnant whether engaged in by a lawyer or a party.~~ In many instances, ~~an~~ LLLT will be providing assistance to a client who is a party to a court proceeding. ~~For this reason, as a member of the legal profession, an~~ LLLT is ethically bound to avoid advising or assisting a client in conduct that undermines the integrity of the adjudicative process or threatens the fair and orderly administration of justice. ~~As applied to the indirect conduct of LLLTs, the ethical proscriptions of Lawyer RPC 3.1, 3.2, 3.3, and 3.4 are less nuanced. Accordingly, they have been consolidated within Rule 3.1(a) as a prohibition on counseling or assisting the client in such activities. Conduct relating to the impartiality and decorum of a tribunal, Lawyer RPC 3.5, should be prohibited whether engaged in by an LLLT a LLLT directly or indirectly, and is separately addressed in paragraph (b) of this Rule.~~ Although less comprehensive than Title 3 of the Lawyer RPC, the core Title 3 principles incorporated into Rule 3.1 address the issues likely to be encountered by ~~an LLLTa LLLT~~, with supplemental guidance available in ~~the corresponding Title 3 of the~~ Lawyer RPC and commentary thereto.

~~[2] An LLLT acting as a "lay representative authorized by administrative agencies or tribunals" under GR 24(b)(3) would not be acting pursuant to the authority of his or her LLLT license in that context, since such representation would be beyond the scope of LLLT practice authorized by APR 28(F). Should an LLLT engage in conduct as a lay advocate that would otherwise directly violate a Title 3 obligation—for example, by knowingly making a false statement of fact to an administrative tribunal—such conduct may violate the requirements of other rules. See, e.g., Rule 8.4(e) (prohibiting conduct involving dishonesty, fraud, deceit, and misrepresentation) and Rule 8.4(d) (prohibiting conduct prejudicial to the administration of justice).~~

[32] Certain Title 3 of the Lawyer RPC provisions, such as Lawyer as Witness in Rule 3.7 and the Special Responsibilities of a Prosecutor in Rule 3.8, do not apply to LLLTs. ~~In these instances, the corresponding LLLT RPC has been reserved. Rules 3.6 and 3.9 represent~~

ethical issues that would rarely if ever arise in the context of ~~an LLLT~~ LLLT's limited-scope representation. Accordingly, these provisions have been reserved as well, though guidance is available in the corresponding Lawyer RPC in the event that such an ethical dilemma does arise in a LLLT representation.

LLLT RPC 3.2
[Reserved]

Comment

[1] See Comments [1] and [2] to Rule 3.1.

LLLT RPC 3.3
[Reserved]

Comment

[1] See Comments [1] and [2] to Rule 3.1.

LLLT RPC 3.4
[Reserved]

Comment

[1] See Comments [1] and [2] to Rule 3.1.

LLLT RPC 3.5
[Reserved]

Comment

[1] See Comment [1] to Rule 3.1.

LLLT RPC 3.6
[Reserved]

Comment

[1] See Comment [32] to Rule 3.1.

LLLT RPC 3.7
[Reserved]

Comment

[1] See Comment [32] to Rule 3.1.

LLLT RPC 3.8
[Reserved]

Comment

[1] See Comment [32] to Rule 3.1.

LLLT RPC 3.9

[Reserved]

Comment

[1] See Comment [32] to Rule 3.1.

TITLE 4.—TRANSACTIONS WITH PERSONS OTHER THAN CLIENTS

LLLT RPC 4.1 TRUTHFULNESS IN STATEMENTS TO OTHERS

In the course of representing a client ~~an LLLT~~ a LLLT shall not knowingly:

- (a) make a false statement of material fact or law to a third person; or
- (b) fail to disclose a material fact to a third person when disclosure is necessary to avoid assisting a criminal or fraudulent act by a client, unless disclosure is prohibited by Rule 1.6.

Comment

[1] This Rule was adapted from Lawyer RPC 4.1 with no substantive changes and applies to LLLTs analogously.

[2] LLLTs are required ~~by APR 28(G)(5)~~ to include the LLLT's name, signature, and license number beneath the signature of the client on all documents that the LLLT prepares ~~as required by APR 28(G)(4)~~.—This ~~will~~ assures that judges and other court personnel, other parties to a matter, and lawyers representing those parties, are informed of the LLLT's role in the matter.

Comment [JT5]: Remove. Maybe move to 7?

LLLT RPC 4.2 COMMUNICATION WITH PERSON REPRESENTED BY LAWYER

In representing a client, ~~an LLLT~~ a LLLT shall not communicate about the subject of the representation with a person the LLLT knows to be represented by a lawyer in the matter.

Comment [JT6]: Check lawyer RPC for references to prohibited scope under APR 28

Comment

[1] A person who has chosen to be represented by a lawyer should be protected against possible overreaching by another lawyer.—See Lawyer RPC 4.2 and Comments to that rule. Rule 4.2 extends to LLLTs the prohibition on communicating with a person represented by a lawyer.—This Rule differs from Lawyer RPC 4.2 in that the prohibition is absolute.—While a lawyer may be permitted to communicate directly with a person who is represented by another lawyer with the other lawyer's consent, or if authorized to do so by law or court order, there are no exceptions to the prohibition as it applies to LLLTs.—~~because any such communication would put an LLLT in a position of exceeding the authorized scope of the LLLT's practice under APR 28(H). Specifically, APR 28(H)(6) prohibits negotiating a client's legal rights or responsibilities or communicating with another person the client's position, and APR 28(H)(5) prohibits an LLLT from representing a client in court proceedings. In light of these limitations,~~

~~there is no circumstance in which an LLLT could communicate with a person represented by a lawyer about the subject matter of the representation without transgressing the APR.~~

LLLT RPC 4.3 DEALING WITH PERSON NOT REPRESENTED BY LAWYER

(a) In dealing on behalf of a client with a person who is not represented by a lawyer, ~~an LLLT~~a LLLT shall not state or imply that the LLLT is disinterested.—When the LLLT knows or reasonably should know that the unrepresented person misunderstands the LLLT's role in the matter, the LLLT shall make reasonable efforts to correct the misunderstanding.—The LLLT shall not give legal advice to an unrepresented person, other than the advice to secure the services of another legal practitioner, if the LLLT knows or reasonably should know that the interests of such a person are or have a reasonable possibility of being in conflict with the interests of the client.

~~(b) An LLLT shall not communicate about the subject of the representation with another party in the matter.~~

Comment

[1] Paragraph (a) of this Rule was adapted from Lawyer RPC 4.3 with no substantive changes and applies to LLLTs analogously.

[2] ~~[Reserved] Paragraph (b) of this Rule does not appear in the Lawyer RPC.— It derives from the limitations on the authorized scope of an LLLT's practice under APR 28(H)(6).— See Comment [1] to Rule 4.2 for a discussion of the implications of APR 28(H)(6).~~

[3] The client of ~~an LLLT~~a LLLT is an unrepresented person for purposes of Lawyer RPC 4.2 and 4.3.—~~The definition of an LLLT in APR 28(B)(4) clarifies that an LLLT does not represent a client in court proceedings or negotiations, but provides limited legal assistance to a pro se client.~~

[4] ~~Although an LLLT is strictly prohibited by paragraph (b) from communicating with a party about the subject matter of the LLLT's representation, a~~An LLLT may have occasion to communicate directly with a nonparty who is assisted by another LLLT. A risk of unwarranted intrusion into a privileged relationship may arise when ~~an~~a LLLT deals with a person who is assisted by another LLLT. Client-LLLT communications, however, are privileged to the same extent as client-lawyer communications. See APR 28(K)(3). ~~An~~A LLLT's ethical duty of confidentiality further protects the LLLT client's right to confidentiality in that professional relationship. *See* LLLT RPC 1.6(a). When dealing with a person who is assisted by another LLLT, ~~an~~a LLLT must respect these legal rights that protect the client-LLLT relationship.

Comment [JT7]: Check reference

LLLT RPC 4.4 RESPECT FOR RIGHTS OF THIRD PERSONS

(a) In representing a client, ~~an LLLT~~a LLLT shall not use means that have no substantial purpose other than to embarrass, delay, or burden a third person, or use methods of obtaining evidence that violate the legal rights of such a person.

(b) ~~An LLLTA LLLT~~ who receives a document relating to the representation of the LLLT's client and knows or reasonably should know that the document was inadvertently sent shall promptly notify the sender.

Comment

[1] This Rule was adapted from Lawyer RPC 4.4 with no substantive changes and applies to LLLTs analogously.

TITLE 5.-LAW FIRMS AND ASSOCIATIONS
LLLT RPC 5.1 RESPONSIBILITIES OF PARTNERS, MANAGERS, AND
SUPERVISORY LLLTS

(a) ~~An LLLTA LLLT~~ partner in a law firm, and ~~an LLLTa LLLT~~ who individually or together with other LLLTs possesses comparable managerial authority in a law firm, shall make reasonable efforts to ensure that the firm has in effect measures giving reasonable assurance that all LLLTs in the firm conform to the LLLT RPC.

(b) ~~An LLLTA LLLT~~ having direct supervisory authority over another LLLT shall make reasonable efforts to ensure that the other LLLT conforms to the LLLT RPC.

(c) ~~An LLLTA LLLT~~ shall be responsible for another LLLT's violation of the LLLT RPC if:

- (1) the LLLT orders or, with knowledge of the specific conduct, ratifies the conduct involved; or
- (2) the LLLT is a partner or has comparable managerial authority in the firm in which the other LLLT practices, or has direct supervisory authority over the other LLLT, and knows of the conduct at a time when its consequences can be avoided or mitigated but fails to take reasonable remedial action.

(d) ~~An LLLTA LLLT~~ shall be responsible for a lawyer violation of the Lawyer RPC if the LLLT is a partner or has comparable managerial authority and knows of the conduct at a time when its consequences can be avoided or mitigated but fails to take reasonable remedial action.

Comment

[1] This Rule was adapted from Lawyer RPC 5.1 with no substantive changes and applies to LLLTs analogously.

[2] When under Rule 5.9 ~~an LLLTa LLLT~~ has managerial authority in a firm comprised of both lawyers and LLLTs, the LLLT should support efforts of the firm's lawyers with managerial authority under Lawyer RPC 5.1 and 5.10 to make reasonable efforts to ensure that the firm has in effect measures giving reasonable assurance that all lawyers in the firm conform to the Lawyer RPC.

[3] Under paragraph (d), when ~~an LLLT~~ LLLT with managerial authority in a firm comprised of both lawyers and LLLTs knows of a lawyer's violation of the Lawyer RPC at a time when its consequences can be avoided or mitigated, reasonable remedial action will ordinarily consist of promptly reporting the violation to one of the firm's lawyers with managerial authority so that the lawyer manager can take appropriate action under Lawyer RPC 5.1(c).

LLLT RPC 5.2 RESPONSIBILITIES OF A SUBORDINATE LLLT

(a) ~~An LLLT~~ LLLT is bound by the LLLT RPC notwithstanding that the LLLT acted at the direction of another person.

(b) A subordinate LLLT does not violate the LLLT RPC if that LLLT acts in accordance with a supervisory LLLT or a supervisory lawyer's reasonable resolution of an arguable question of professional duty.

Comment

[1] This Rule was adapted from Lawyer RPC 5.2 with no substantive changes except to reflect that LLLTs and lawyers may practice in the same firm. ~~It applies to LLLTs and to firms in which both LLLTs and lawyers are associated analogously.~~

LLLT RPC 5.3 RESPONSIBILITIES REGARDING NON-LLLT ASSISTANTS

With respect to a non-LLLT employed or retained by or associated with ~~an LLLT~~ LLLT:

(a) ~~an LLLT~~ LLLT partner, and ~~an LLLT~~ LLLT who individually or together with other LLLTs possesses comparable managerial authority in a law firm, shall make reasonable efforts to ensure that the firm has in effect measures giving reasonable assurance that the person's conduct is compatible with the professional obligations of the LLLT;

(b) ~~an LLLT~~ LLLT having direct supervisory authority over the non-LLLT shall make reasonable efforts to ensure that the person's conduct is compatible with the professional obligations of the LLLT; and

(c) ~~an LLLT~~ LLLT shall be responsible for conduct of such a person that would be a violation of the Rules of Professional Conduct if engaged in by ~~an LLLT~~ LLLT if:

- (1) the LLLT orders or, with the knowledge of the specific conduct, ratifies the conduct involved; or
- (2) the LLLT is a partner or has comparable managerial authority in the firm in which the person is employed, or has direct supervisory authority over the person, and knows of the conduct at a time when its consequences can be avoided or mitigated but fails to take reasonable remedial action.

Comment

[1] This Rule was adapted from Lawyer RPC 5.3 with no substantive changes and applies to LLLTs analogously.

LLLT RPC 5.4 PROFESSIONAL INDEPENDENCE OF ~~AN LLLT~~ LLLT

(a) ~~An LLLT~~ LLLT or LLLT firm shall not share legal fees with anyone who is a ~~not a non-LLLT~~ legal practitioner, except that:

- (1) an agreement by ~~an LLLT~~ LLLT with the LLLT's firm, partner, or LLLT associate may provide for the payment of money, over a reasonable period of time after the LLLT's death, to the LLLT's estate or to one or more specified persons;
- (2) ~~an LLLT~~ LLLT who purchases the practice of a deceased, disabled, or disappeared LLLT or lawyer may, pursuant to the provisions of Rule 1.17, pay to the estate or other representative of that LLLT or lawyer the agreed-upon purchase price;
- (3) ~~an LLLT~~ LLLT or LLLT firm may include ~~non-LLLT~~ employees who are not LLLTs in a compensation or retirement plan, even though the plan is based in whole or in part on a profit-sharing arrangement; and
- (4) [Reserved.]
- (5) ~~an LLLT~~ LLLT authorized to complete unfinished legal business of a deceased LLLT may pay to the estate or other representative of the deceased LLLT that proportion of the total compensation that fairly represents the services rendered by the deceased LLLT.

(b) ~~An LLLT~~ LLLT shall not form a partnership with ~~a non-LLLT~~ anyone who is not a legal practitioner if any of the activities of the partnership consist of the practice of law.

(c) ~~An LLLT~~ LLLT shall not permit a person who recommends, employs, or pays the LLLT to render legal services for another to direct or regulate the LLLT's professional judgment in rendering such legal services.

(d) ~~An LLLT~~ LLLT shall not practice with or in the form of a professional corporation or association authorized to practice law for a profit, if:

- (1) a ~~non-LLLT~~ person who is not a legal practitioner owns any interest therein, except that a fiduciary representative of the estate of ~~an LLLT~~ LLLT may hold the stock or interest of the LLLT for a reasonable time during administration;
- (2) a person who is not a legal practitioner ~~non-LLLT~~ is a corporate director or officer (other than as secretary or treasurer) thereof or occupies the position of similar responsibility in any form of association other than a corporation; or

- (3) a person who is not a legal practitioner non-LLLT has the right to direct or control the professional judgment of an-LLLTa LLLT.

Comment

[1] This Rule was adapted from Lawyer RPC 5.4 with no substantive changes except to change references to a “nonlawyer” to “persons who are not legal practitioners non-LLLT” to avoid confusion.—It applies to LLLTs analogously.

[2] ~~Notwithstanding~~ Rule 5.4 does not prohibit lawyers and LLLTs may from sharing fees and forming business structures to the extent permitted by Rule 5.9.

LLLT RPC 5.5 UNAUTHORIZED PRACTICE OF LAW

- (a) ~~An-LLLTa LLLT~~ shall not practice law in a jurisdiction in violation of the regulation of the legal profession in that jurisdiction, or assist another in doing so.
- (b) [Reserved.]
- (c) [Reserved.]
- (d) [Reserved.]

Comment

[1] Lawyer RPC 5.5(a) expresses the basic prohibition on a legal practitioner practicing law in a jurisdiction where that individual is not specifically licensed or otherwise authorized to practice law.—It reflects the general notion (enforced through criminal-legal prohibitions and other law) that legal services may only be provided by those licensed to do so.—This limitation on the ability to practice law is designed to protect the public against the rendition of legal services by unqualified persons.—See Comment [2] to Lawyer RPC 5.5.

As applied to LLLTs, this principle should apply with equal force.—An actively licensed LLLT should practice law as an-LLLTa LLLT only in a jurisdiction where he or she is licensed to do so, i.e., Washington State.—An-LLLTa LLLT must not practice law in a jurisdiction where he or she is not authorized to do so.—Unless and until other jurisdictions authorize Washington-licensed LLLTs to practice law, it will be unethical under this Rule for the LLLT to provide or attempt to provide legal services extraterritorially.—Relatedly, it is unethical to assist anyone in activities that constitute the unauthorized practice of law in any jurisdiction.— See also APR 28(H)(7) (prohibiting an-LLLTa LLLT from providing services to a client in connection with a legal matter in another state unless permitted by the laws of that state to perform the services for the client).

[2] Lawyer RPC 5.5(b) through (d) define the circumstances in which lawyers can practice in Washington despite being unlicensed here.—For example, lawyers actively licensed elsewhere may provide services on a temporary basis in Washington in association with a

lawyer admitted to practice here or when the lawyer's activities "arise out of or are reasonably related to the lawyer's practice in his or her home jurisdiction."—These provisions also recognize that certain non-Washington-licensed lawyers may practice here on more than a temporary basis (e.g., lawyers providing services authorized by federal law), and otherwise prohibit non-Washington-licensed lawyers from establishing a systematic and continuous presence in Washington for the practice of law.

These provisions are, at this time, unnecessary in the LLLT RPC because there are no limited license programs in other jurisdictions tantamount to Washington's LLLT rules and no need to authorize ~~nonlawyers—individuals who are not licensed to practice law~~ in other jurisdictions to practice law in Washington, either temporarily or on an ongoing basis.—For this reason, paragraphs (b) through (d) are reserved.

LLLT RPC 5.6 RESTRICTIONS ON RIGHT TO PRACTICE

~~An LLLT~~ shall not participate in offering or making:

- (a) a partnership, shareholders, operating, employment, or other similar type of agreement that restricts the rights of ~~an LLLT~~ or lawyer to practice after termination of the relationship, except an agreement concerning benefits upon retirement; or
- (b) an agreement in which a restriction on the LLLT's right to practice is part of the settlement of a client controversy.

Comment

[1] This Rule was adapted from Lawyer RPC 5.6 with no substantive changes except to reflect that LLLTs and lawyers may practice in the same firm.—It applies to LLLTs and to firms in which both LLLTs and lawyers are associated analogously.

LLLT RPC 5.7 RESPONSIBILITIES REGARDING LAW-RELATED SERVICES

(a) ~~An LLLT~~ shall be subject to the LLLT RPC with respect to the provision of law-related services, as defined in paragraph (b), if the law-related services are provided:

- (1) by the LLLT in circumstances that are not distinct from the LLLT's provision of legal services to clients; or
- (2) in other circumstances by an entity controlled by the LLLT individually or with others if the LLLT fails to take reasonable measures to assure that a person obtaining the law-related services knows that the services are not legal services and that the protections of the client-LLLT relationship do not exist.

(b) The term "law-related services" denotes services that might reasonably be performed in conjunction with and in substance are related to the provision of legal services, and that are not prohibited as unauthorized practice of law when provided by anyone except ~~an LLLT~~ or a lawyer.

Comment

[1] This Rule was adapted from Lawyer RPC 5.7 with no substantive changes except to change the reference to a “nonlawyer” (in Lawyer RPC 5.7(b)) to “anyone except ~~an LLLT~~ LLLT or a lawyer” (in Rule 5.7(b)) to avoid confusion.—It applies to LLLTs analogously.

LLLT RPC 5.8 MISCONDUCT INVOLVING LLLTs AND LAWYERS NOT ACTIVELY LICENSED TO PRACTICE LAW

- (a) ~~An LLLT~~ LLLT shall not engage in the practice of law while on inactive status, or while suspended from the practice of law for any cause.
- (b) ~~An LLLT~~ LLLT shall not engage in any of the following with ~~an LLLT~~ LLLT or lawyer who is disbarred or suspended, or who has resigned in lieu of disbarment or discipline or whose license has been revoked or voluntarily canceled in lieu of discipline:
- (1) practice law with or in cooperation with such an individual;
 - (2) maintain an office for the practice of law in a room or office occupied or used in whole or in part by such an individual;
 - (3) permit such an individual to use the LLLT's name for the practice of law;
 - (4) practice law for or on behalf of such an individual; or
 - (5) practice law under any arrangement or understanding for division of fees or compensation of any kind with such an individual.

Comment

[1] This Rule was adapted from Lawyer RPC 5.8 with no substantive changes except to incorporate disciplinary dispositions applicable to LLLTs in paragraph (b).—Otherwise, this Rule applies to LLLTs analogously.

LLLT RPC 5.9 BUSINESS STRUCTURES INVOLVING LLLT AND LAWYER OWNERSHIP

- (a) Notwithstanding the provisions of Rule 5.4, ~~an LLLT~~ LLLT may:
- (1) share fees with a lawyer who is in the same firm as the LLLT;
 - (2) form a partnership with a lawyer where the activities of the partnership consist of the practice of law; or
 - (3) practice with or in the form of a professional corporation, association, or other business structure authorized to practice law for a profit in which a lawyer owns

an interest or serves as a corporate director or officer or occupies a position of similar responsibility.

(b) ~~An LLLTA LLLT~~ and a lawyer may practice in a jointly owned firm or other business structure authorized by paragraph (a) of this Rule only if:

- (1) LLLTs do not direct or regulate any lawyer's professional judgment in rendering legal services;
- (2) LLLTs have no direct supervisory authority over any lawyer;
- (3) LLLTs do not possess a majority ownership interest or exercise controlling managerial authority in the firm; and
- (4) lawyers with managerial authority in the firm expressly undertake responsibility for the conduct of LLLT partners or owners to the same extent they are responsible for the conduct of lawyers in the firm under Lawyer RPC 5.1.

Comment

[1] This Rule codifies the proposition that LLLTs may enter into fee-sharing arrangements and for-profit business relationships with lawyers. ~~It is an exception to the general prohibition stated in Rule 5.4 that LLLTs may not share fees or enter into business relationships with individuals other than LLLTs. Rule 5.4 governs ~~an LLLTa LLLT~~'s responsibilities with respect to individuals who are neither LLLTs nor lawyers.~~

[2] In addition to expressly authorizing intra-firm fee-sharing and business structures between LLLTs and lawyers in paragraph (a), paragraph (b) of the Rule sets forth limitations on the role of LLLTs in jointly owned firms, specifying that regardless of ~~an LLLTa LLLT~~'s ownership interest in such a firm, the business may not be structured in a way that permits LLLTs directly or indirectly to supervise lawyers or to otherwise direct or regulate a lawyer's independent professional judgment. ~~This includes a limitation on LLLTs possessing a majority ownership interest or controlling managerial authority in a jointly owned firm, a structure that could result indirectly in nonlawyer decision-making affecting the professional independence of lawyers. Lawyer managers, by contrast, will be required to undertake responsibility for a firm's LLLT owners by expressly assuming responsibility for their conduct to the same extent as they are responsible for the conduct of firm lawyers.~~

TITLE 6. PUBLIC SERVICE

LLLT RPC 6.1 PRO BONO PUBLICO SERVICE

Every LLLT has a professional responsibility to assist in the provision of legal services to those unable to pay. ~~An LLLTA LLLT~~ should aspire to render at least thirty (30) hours of pro bono publico service per year. ~~In fulfilling this responsibility, the LLLTs should:~~

(a) provide legal services without fee or expectation of fee to:

- (1) persons of limited means or
- (2) charitable, religious, civic, community, governmental, and educational organizations in matters which are designed primarily to address the needs of persons of limited means; and

(b) provide pro bono publico service through:

- (1) [Reserved.]
- (2) delivery of legal services at a substantially reduced fee to persons of limited means; or
- (3) participation in activities for improving the law, the legal system or the legal profession.

Pro bono publico service may be reported annually on a form provided by the WSBA. ~~An LLLTA LLLT~~ rendering a minimum of fifty (50) hours of pro bono publico service shall receive commendation for such service from the Limited License Legal Technician Board.

Comment

[1] Paragraph (a) of this Rule was adapted from Lawyer RPC 6.1(a) with no substantive changes and applies to LLLTs analogously.

[2] Paragraph (b) of this Rule was adapted from Lawyer RPC 6.1(b) with no substantive changes except that paragraph (b)(1) is reserved. Lawyer RPC 6.1(b)(1) refers to the delivery of pro bono public services to individuals or organizations to secure civil rights, civil liberties or public rights, or to further the organizational purposes of certain not-for-profit organizations and entities. ~~These kinds of services are beyond the scope of a LLLT's authority under APR 28. Accordingly, Rule 6.1(b)(1) is reserved. Otherwise, this Rule applies to LLLTs analogously.~~

LLLT RPC 6.2 [Reserved]

Comment

[1] Lawyer RPC 6.2 relates to appointments by a tribunal for the representation of persons before that tribunal. ~~These kinds of services are beyond the scope of an LLLTa LLLT's authority under APR 28. Accordingly, Rule 6.2 is reserved.~~

LLLT RPC 6.3 MEMBERSHIP IN LEGAL SERVICES ORGANIZATION

~~An LLLTA LLLT~~ may serve as a director, officer, or member of a legal services organization, apart from the firm in which the LLLT practices, notwithstanding that the organization serves persons having interests adverse to a client of the LLLT. The LLLT shall not knowingly participate in a decision or action of the organization:

(a) if participating in the decision or action would be incompatible with the LLLT's obligations to a client under Rule 1.7; or

(b) where the decision or action could have a material adverse effect on the representation of a client of the organization whose interests are adverse to a client of the LLLT.

Comment

[1] This Rule was adapted from Lawyer RPC 6.3 with no substantive changes and applies to LLLTs analogously.

LLLT RPC 6.4 LAW REFORM ACTIVITIES AFFECTING CLIENT INTERESTS

~~An LLLT~~ LLLT may serve as a director, officer, or member of an organization involved in reform of the law or its administration notwithstanding that the reform may affect the interests of a client of the LLLT. ~~When the LLLT knows that the interests of a client may be materially benefited by a decision in which the LLLT participates, the LLLT shall disclose that fact but need not identify the client.~~

Comment

[1] This Rule was adapted from Lawyer RPC 6.4 with no substantive changes and applies to LLLTs analogously.

LLLT RPC 6.5 NONPROFIT AND COURT-ANNEXED LIMITED LEGAL SERVICE PROGRAMS

(a) ~~An LLLT~~ LLLT who, under the auspices of a program sponsored by a nonprofit organization or court, provides short-term limited legal services to a client without expectation by either the LLLT or the client that the LLLT will provide continuing representation in the matter and without expectation that the LLLT will receive a fee from the client for the services provided:

- (1) is subject to Rules 1.7, 1.9(a), and 1.18(c) only if the LLLT knows that the representation of the client involves a conflict of interest, except that those Rules shall not prohibit ~~an LLLT~~ LLLT from providing limited legal services sufficient only to determine eligibility of the client for assistance by the program and to make an appropriate referral of the client to another program;
- (2) is subject to Rule 1.10 only if the LLLT knows that another LLLT or lawyer associated with the LLLT in a firm is disqualified by Rule 1.7 or 1.9(a), or by Lawyer RPC 1.7 or 1.9(a), with respect to the matter; and
- (3) notwithstanding paragraph (1) and (2), is not subject to Rules 1.7, 1.9(a), 1.10, or 1.18(c) in providing limited legal services within the authorized scope of the LLLT's practice to a client if:

- (i) any program LLLTs or lawyers representing the opposing clients are screened by effective means from information relating to the representation of the opposing client;
- (ii) each client is notified of the conflict and the screening mechanism used to prohibit dissemination of information relating to the representation; and
- (iii) the program is able to demonstrate by convincing evidence that no material information relating to the representation of the opposing client was transmitted by the personally disqualified LLLTs or lawyers to the LLLT representing the conflicting client before implementation of the screening mechanism and notice to the opposing client.

(b) Except as provided in paragraph (a)(2), Rule 1.10 is inapplicable to a representation governed by this Rule.

Comment

[1] This Rule was adapted from Lawyer RPC 6.5 with no substantive changes except to reflect that LLLTs and lawyers may practice in the same firm and to reflect the authorized scope of ~~an LLLT~~ a LLLT's practice.— It applies to LLLTs and to firms in which both LLLTs and lawyers are associated analogously.

TITLE 7.—INFORMATION ABOUT LEGAL SERVICES

LLLT RPC 7.1 COMMUNICATIONS CONCERNING ~~AN LLLT~~ A LLLT'S SERVICES

~~An LLLT~~ A LLLT shall not make a false or misleading communication about the LLLT or the LLLT's services.— A communication is false or misleading if it contains a material misrepresentation of fact or law, or omits a fact necessary to make the statement considered as a whole not materially misleading.

Comment

[1] This Rule was adapted from Lawyer RPC 7.1 with no substantive changes and applies to LLLTs analogously.— See also APR 28(H)(1) (prohibiting ~~an LLLT~~ a LLLT from making any statement that the LLLT can or will obtain special favors from or has special influence with any court or governmental agency).

LLLT RPC 7.2 ADVERTISING

(a) Subject to the requirements of Rules 7.1 and 7.3, ~~an LLLT~~ a LLLT may advertise services through written, recorded, or electronic communication, including public media.

(b) ~~An LLLT~~ A LLLT shall not give anything of value to a person for recommending the LLLT's services, except that ~~an LLLT~~ a LLLT may

- (1) pay the reasonable cost of advertisements or communications permitted by this Rule;

- (2) pay the usual charges of a legal service plan or a not-for-profit LLLT referral service;
- (3) pay for a law practice in accordance with Rule 1.17; and
- (4) refer clients to a lawyer or to another LLLT pursuant to an agreement not otherwise prohibited under these Rules that provides for the other person to refer clients or customers to the LLLT, if
 - (i) the reciprocal referral agreement is not exclusive, and
 - (ii) the client is informed of the existence and nature of the agreement.

(c) Any communication made pursuant to this Rule shall include the name and office address of at least one LLLT or law firm responsible for its content.

Comment

[1] This Rule was adapted from Lawyer RPC 7.2 with no substantive changes except to reflect that client referrals may occur reciprocally between lawyers and LLLTs.—It applies to LLLTs analogously.

[2] This Rule prohibits LLLTs from paying others for referrals.—*See also* Rule 1.5(e) (prohibiting the division of fees with another LLLT or lawyer who is not in the same firm as the LLLT); Rule 5.4 (subject to Rule 5.9, prohibiting the sharing of fees with anyone who is not ~~an LLLT~~a LLLT).

[3] In advertising, ~~an LLLT~~a LLLT also has an affirmative obligation to communicate the fact that the LLLT has a limited license to practice in the particular fields of law for which the LLLT is licensed and is prohibited from stating or implying that the LLLT is licensed to practice in any other areas of law, or has an unlimited license to practice law in any area of law. *See* Rule 7.4(a).

LLLT RPC 7.3 DIRECT CONTACT WITH PROSPECTIVE CLIENTS

(a) ~~An LLLT~~a LLLT shall not directly or through a third person, by in-person, live telephone, or real-time electronic contact solicit professional employment from a prospective client when a significant motive for the LLLT’s doing so is the LLLT’s pecuniary gain, unless the person contacted:

- (1) is a lawyer or ~~an LLLT~~a LLLT;
- (2) has a family, close personal, or prior professional relationship with the LLLT; or
- (3) has consented to the contact by requesting a referral from a not-for-profit LLLT referral service.

(b) ~~An LLLTA LLLT~~ shall not solicit professional employment from a prospective client by written, recorded or electronic communication or by in-person, telephone, or real-time electronic contact even when not otherwise prohibited by paragraph (a), if;

(1) the prospective client has made known to the LLLT a desire not to be solicited by the LLLT; or

(2) the solicitation involves coercion, duress or harassment.

(c) [Reserved.]

(d) Notwithstanding the prohibitions in paragraph (a), ~~an LLLTa LLLT~~ may participate with a prepaid or group legal service plan operated by an organization not owned or directed by the LLLT that uses in-person or telephone contact to solicit memberships or subscriptions for the plan from persons who are not known to need legal services in a particular matter covered by the plan.

Comment

[1] This Rule was adapted from Lawyer RPC 7.3 with no substantive changes except to reflect that LLLTs may solicit employment from lawyers as well as other LLLTs, and that referral services may refer to both lawyers and LLLTs.— This Rule applies to LLLTs analogously.

LLLT RPC 7.4 COMMUNICATION OF FIELDS OF PRACTICE AND SPECIALIZATION

(a) In all advertising, ~~an LLLTa LLLT~~ shall communicate the fact that the LLLT has a limited license practice in the particular fields of law for which the LLLT is licensed, and shall not state or imply that ~~an LLLTa LLLT~~ is licensed to practice in any other areas of law, or has an unlimited license to practice law in any area of law.

(b) [Reserved.]

(c) [Reserved.]

(d) ~~An LLLTA LLLT~~ shall not state or imply that ~~an LLLTa LLLT~~ is "certified," a "specialist," or an "expert," or use any other similar term to describe his or her qualifications as ~~an LLLTa LLLT~~, but may identify any award or recognition that the LLLT has received from a group, organization, or association.— If ~~an LLLTa LLLT~~ has received any other legal title, credential, or certificate from any group, organization, or association, then the LLLT may identify the legal title, credential, or certificate provided that the reference must:

(1) be truthful and verifiable and otherwise comply with Rule 7.1;

- (2) identify the group, organization, or association that issued the legal title, credential, or certificate; and
- (3) state that the Supreme Court of Washington does not recognize certification of specialties in the practice of law and that the legal title, credential, or certificate is not a requirement of the LLLT's limited license to practice in the particular fields of law for which the LLLT is licensed.

Comment

[1] ~~An LLLTA LLLT~~'s license to provide legal services is unique and may not be understood by persons who are not familiar with the limited scope of practice of ~~an LLLTa LLLT~~ and with the differences between ~~an LLLTa LLLT~~ and a lawyer.— Advertising is designed to help educate the public on the availability of legal services, but advertising by ~~an LLLTa LLLT~~ may not be false or misleading.— See Rule 7.1.— In order to avoid confusion about the scope of services that ~~an LLLTa LLLT~~ can provide as distinct from the broader scope of services that a lawyer is authorized to provide, advertising by ~~an LLLTa LLLT~~ must communicate that ~~an LLLTa LLLT~~ may deliver legal services only within a limited scope. Accordingly, Rule 7.4(a) differs from Lawyer RPC 7.4(a) in that it requires that all advertising by ~~an LLLTa LLLT~~ communicate relevant facts concerning the scope of the LLLT's license and expressly prohibits communications that state or imply that the LLLT's license exceeds that scope.

[2] Lawyer RPC 7.4(b) pertains to a patent practice before the United States Patent and Trademark Office, a practice that exceeds the authorized scope of APR 28.— Accordingly, Rule 7.4(b) is reserved.

[3] Lawyer RPC 7.4(c) pertains to an admiralty practice, a practice that exceeds the authorized scope of APR 28.— Accordingly, Rule 7.4(c) is reserved.

[4] In order to avoid confusion about the scope of services that ~~an LLLTa LLLT~~ can provide, APR 28(H)(4) prohibits ~~an LLLTa LLLT~~ from representing or advertising, in connection with the provision of legal services, other legal titles or credentials that could cause a client to believe that the LLLT possesses professional legal skills beyond those authorized by the license held by the LLLT.— The terms "certified," "specialist," "expert," and similar terms suggest achievement of skills beyond those that are authorized by the LLLT's license, and may not be used when describing ~~an LLLTa LLLT~~'s credentials.— Other titles and recognitions, however, may provide useful information that is not likely to mislead clients or potential clients concerning the skills and authorized scope of ~~an LLLTa LLLT~~'s practice.— Accordingly, if ~~an LLLTa LLLT~~ has received a legal title, credential, or certificate from a group, organization, or association, the LLLT may identify that title, credential, or certificate so long as communications about it meet the requirements enumerated in Rule 7.4(d)(1)-(3).— Those requirements are substantially similar to Lawyer Rule 7.4(d)(1)-(3).— ~~An LLLTA LLLT~~ may also identify awards and recognitions that the LLLT has received from a group, organization, or association.

LLLT RPC 7.5 FIRM NAMES AND LETTERHEADS

(a) ~~An LLLTA LLLT~~ shall not use a firm name, letterhead, or other professional designation that violates Rule 7.1.—A trade name may be used by ~~an LLLTa LLLT~~ in private practice if the trade name does not imply that lawyers are members or employees of the firm unless that is the case, and if it does not imply a connection with a government agency or with a public or charitable legal services organization and is not otherwise in violation of Rule 7.1.—If there are no lawyers in the firm, any firm name used by ~~an LLLTa LLLT~~ in private practice shall include the words "Legal Technician."

(b) A law firm with offices in more than one jurisdiction may use the same name or other professional designation in each jurisdiction, but identification of the lawyers or LLLTs in an office of the firm shall indicate the jurisdictional limitations on those not licensed to practice in the jurisdiction where the office is located.

(c) The name of ~~an LLLTa LLLT~~ or lawyer holding a public office shall not be used in the name of a law firm, or in communications on its behalf, during any substantial period in which the LLLT or lawyer is not actively and regularly practicing with the firm.

(d) LLLTs may state or imply that they practice in a partnership or other organization only when that is a fact.

Comment

[1] This Rule was adapted from Lawyer RPC 7.5 with no substantive changes except that provisions have been added to subpart (a) to require that any trade name not imply that lawyers are members or employees of the firm unless that is the case, and that, if there are no lawyers in the firm, any trade name include the words "Legal Technician."—Otherwise, this Rule applies to LLLTs analogously.

[2] ~~An LLLTA LLLT~~'s license to provide legal services is unique and may not be understood by persons who are not familiar with the limited scope of ~~an LLLTa LLLT~~'s practice and with the differences between ~~an LLLTa LLLT~~ and a lawyer.—A trade name is a brand and is therefore similar to forms of advertising and is often used in advertising.—A trade name must not be false or misleading.—See Rules 7.1 and 7.4.—In order to avoid confusion, trade names should communicate the nature of the legal services that a licensed practitioner or firm can deliver.—Rule 7.5(a) requires that any trade name communicate relevant facts concerning the scope of the legal services that can be delivered by the legal professional or firm.

LLLT RPC 7.6 POLITICAL CONTRIBUTIONS TO OBTAIN GOVERNMENT LEGAL ENGAGEMENTS OR APPOINTMENTS BY JUDGES

~~An LLLTA LLLT~~ or law firm shall not accept a government legal engagement or an appointment by a judge if the LLLT or law firm makes a political contribution or solicits political contributions for the purpose of obtaining or being considered for that type of legal engagement or appointment.

Comment

[1] This Rule was adapted from Lawyer RPC 7.6 with no substantive changes and applies to LLLTs analogously.

TITLE 8.—MAINTAINING THE INTEGRITY OF THE PROFESSION
LLLT RPC 8.1 LIMITED LICENSURE AND DISCIPLINARY MATTERS

An applicant for limited licensure, or ~~an LLLTa LLLT~~ in connection with a limited licensure or reinstatement application, or lawyer's bar admission, or in connection with a lawyer or LLLT disciplinary matter, shall not:

- (a) knowingly make a false statement of material fact; or
- (b) fail to disclose a fact necessary to correct a misapprehension known by the person to have arisen in the matter, or knowingly fail to respond to a lawful demand for information from a licensing or disciplinary authority, except that this Rule does not require disclosure of information otherwise protected by Rule 1.6.

Comment

[1] This Rule was adapted from Lawyer RPC 8.1 with no substantive changes except to reflect the difference between admission to the Bar (for a lawyer) and limited licensure (for ~~an LLLTa LLLT~~).—This Rule applies to LLLTs analogously.

LLLT RPC 8.2 JUDICIAL AND LEGAL OFFICIALS

- (a) ~~An LLLTa LLLT~~ shall not make a statement that the LLLT knows to be false or with reckless disregard as to its truth or falsity concerning the qualifications, integrity, or record of a judge, adjudicatory officer, or public legal officer, or of a candidate for election or appointment to judicial or legal office.
- (b) [Reserved.]

Comment

[1] Rule 8.2(a) was adapted from Lawyer RPC 8.2(a) with no substantive changes and applies to LLLTs analogously.

[2] Lawyer Rule 8.2(b) pertains to lawyers who are candidates for judicial office.—Judges in the judicial branch of the state of Washington must be lawyers.—Accordingly, Rule 8.2(b) does not apply to LLLTs and is reserved.

LLLT RPC 8.3 REPORTING PROFESSIONAL MISCONDUCT

- (a) ~~An LLLTa LLLT~~ who knows that another LLLT or a lawyer has committed a violation of the applicable Rules of Professional Conduct that raises a substantial question as to that LLLT's or that lawyer's honesty, trustworthiness, or fitness as ~~an LLLTa LLLT~~ or lawyer in other respects, should inform the appropriate professional authority.

(b) ~~An LLLT~~ LLLT who knows that a judge has committed a violation of applicable rules of judicial conduct that raises a substantial question as to the judge's fitness for office should inform the appropriate authority.

(c) This Rule does not permit ~~an LLLT~~ LLLT to report the professional misconduct of another LLLT, a lawyer, or a judge to the appropriate authority if doing so would require the LLLT to disclose information otherwise protected by Rule 1.6.

Comment

[1] This Rule was adapted from Lawyer RPC 8.3 with no substantive changes except to reflect that LLLTs have the same rights and responsibilities with respect to the actions of lawyers that they have with respect to the actions of LLLTs. ~~It applies to LLLTs analogously.~~

LLLT RPC 8.4 MISCONDUCT

It is professional misconduct for ~~an LLLT~~ LLLT to:

(a) violate or attempt to violate the LLLT RPC, knowingly assist or induce another to do so, or do so through the acts of another;

(b) commit a criminal act that reflects adversely on the LLLT's honesty, trustworthiness, or fitness as ~~an LLLT~~ LLLT in other respects;

(c) engage in conduct involving dishonesty, fraud, deceit, or misrepresentation;

(d) engage in conduct that is prejudicial to the administration of justice;

(e) state or imply an ability to influence improperly a government agency or official or to achieve results by means that violate the LLLT Rules of Professional Conduct or other law;

(f) knowingly assist

(1) a judge or judicial officer in conduct that is a violation of applicable rules of judicial conduct or other law or

(2) a lawyer in conduct that is a violation of the lawyer Rules of Professional Conduct or other law;

(g) commit a discriminatory act prohibited by state law on the basis of sex, race, age, creed, religion, color, national origin, disability, sexual orientation, or marital status, where the act of discrimination is committed in connection with the LLLT's professional activities. In addition, it is professional misconduct to commit a discriminatory act on the basis of sexual orientation if such an act would violate this Rule when committed on the basis of sex, race, age, creed, religion, color, national origin, disability, or marital status. This Rule shall not limit the ability of ~~an LLLT~~ LLLT to accept, decline, or withdraw from the representation of a client in accordance with Rule 1.16;

(h) in representing a client, engage in conduct that is prejudicial to the administration of justice toward LLLTs, lawyers, judges, other parties, witnesses, jurors, or court personnel or officers, that a reasonable person would interpret as manifesting prejudice or bias on the basis of sex, race, age, creed, religion, color, national origin, disability, sexual orientation, or marital status. This Rule does not restrict ~~an LLLTa LLLT~~ from assisting a client to advance material factual or legal issues or arguments.

(i) commit any act involving moral turpitude, or corruption, or any unjustified act of assault or other act which reflects disregard for the rule of law, whether the same be committed in the course of his or her conduct as ~~an LLLTa LLLT~~, or otherwise, and whether the same constitutes a felony or misdemeanor or not; and if the act constitutes a felony or misdemeanor, conviction thereof in a criminal proceeding shall not be a condition precedent to disciplinary action, nor shall acquittal or dismissal thereof preclude the commencement of a disciplinary proceeding;

(j) willfully disobey or violate a court order directing him or her to do or cease doing an act which he or she ought in good faith to do or forbear;

(k) violate his or her oath as ~~an LLLTa LLLT~~;

(l) violate a duty or sanction imposed by or under the ~~LLLT RECELLTC~~ in connection with a disciplinary matter; including, but not limited to, the duties catalogued at ~~LLLT RECELLTC~~ 1.5;

(m) [Reserved];

(n) engage in conduct demonstrating unfitness to practice law; or

(o) violate or attempt to violate APR 28-(F)-(H) or Appendix APR 28 Regulation 2.

Comment

[1] This Rule was adapted from Lawyer RPC 8.4 with no substantive changes except as discussed in these Comments, and otherwise applies to LLLTs analogously.

[2] ~~An LLLTa LLLT~~ holds a unique form of license to practice law.—As a legal professional, ~~an LLLTa LLLT~~ has a duty to uphold the integrity of the justice system and of those who are authorized to participate in it as judges, lawyers, and LLLTs.—Rule 8.4(f)(1) prohibits ~~an LLLTa LLLT~~ from knowingly assisting a judge or judicial officer in conduct that violates applicable rules of judicial conduct or other law.—Rule 8.4(f)(2) adds a prohibition against knowingly assisting a lawyer in conduct that violates the Lawyer RPC or other law. Rule 8.4(f)(2) is substantially identical to Rule 8.4(f)(1) except for its reference to the applicable code of conduct and should be interpreted and applied analogously.—Similarly, Rule 8.4(h) has been modified to reflect that ~~an LLLTa LLLT~~'s obligation to avoid conduct that is prejudicial to the administration of justice extends to ~~an LLLTa LLLT~~'s conduct toward lawyers.

[3] Lawyer Rule 8.4(m) pertains to lawyers who serve as judges.— Judges in the judicial branch of the state of Washington must in nearly all instances be lawyers.— Accordingly, because Rule 8.4(m) will have little or no applicability to LLLTs, it is reserved.

[4] LLLTs are subject to discipline when they violate or attempt to violate the LLLT RPC, knowingly assist or induce another to do so, or do so through the acts of another, as when they require or instruct an agent to do so on the LLLT's behalf.— In this way, LLLTs are held to the same standards that apply to lawyers.— Rule 8.4(o), which does not appear in the Lawyer RPC, states that violating or attempting to violate APR 28(F-H) or Appendix APR 28 Regulation 2 is professional misconduct that subjects ~~an LLLT~~ a LLLT to discipline.

LLL RPC 8.5 DISCIPLINARY AUTHORITY

(a) **Disciplinary Authority.**— ~~An LLLT~~ a LLLT licensed to practice in this jurisdiction is subject to the disciplinary authority of this jurisdiction, regardless of where the LLLT's conduct occurs.

(b) [Reserved.]

(c) [Reserved.]

Comment

[1] The first sentence of Rule 8.5 was adapted from the first sentence of Lawyer RPC 8.5 with no substantive changes and applies to LLLTs analogously.

[2] ~~An LLLT~~ a LLLT holds a unique form of license to practice law.— Unlike lawyers, LLLTs are not recognized licensed legal practitioners in jurisdictions other than Washington. With the exception of the first sentence of Lawyer RPC 8.5, that rule applies either to the conduct of lawyers from this jurisdiction who practice law in another jurisdiction, lawyers from another jurisdiction who practice law in this jurisdiction, and lawyers who serve as judges or justices.— For this reason, paragraphs (b) and (c) are reserved.

[Adopted February 3, 2015.]

Comment [JT8]: update

APPENDIX [Reserved]