

AGENDA

BOG Policy & Governance Committee

Meeting Date: July 26, 2024
Location: Tigard, Oregon
Chair: Myah Kehoe
Vice-Chair: Gabe Chase
Members: Candace Clarke, Tomás Hernandez, Joseph Hesbrook, Megan Houlihan, Matt McKean, John Marandas, Robert Welsh, Nik Yanchar
Staff Liaison: Helen M. Hierschbiel

Charge: Develops and monitors the governing rules and policies relating to the structure and organization of the bar; ensures that all bar programs and services comply with organizational mandates and achieve desired outcomes. Identifies and brings emerging issues to the BOG for discussion and action.

1. Minutes. <i>Approve minutes of the June 27, 2024 meeting.</i>	<u>Exhibit</u>	Action	1
2. Strategic Planning. <i>Receive update on strategic planning and provide input on framework and process.</i>	<u>Exhibit</u>	Discussion	20
3. Rural Practice Project. <i>Discuss status of ONLD work and report out on Legal Desert Summit and possible stipends for law students</i>	<u>Exhibit</u>	Discussion	15
4. OSB Awards. <i>Consider proposed changes to OSB Awards.</i>	<u>Exhibit</u>	Action	15
5. Bar Rules of Procedure. <i>Approve for public comment proposed amendments to BRs to conform with the Rules of Licensure.</i>	<u>Exhibit</u>	Action	10
6. Reimbursement Policies. <i>Consider proposed changes to OSB Bylaws and Policies related to reimbursement.</i>	<u>Exhibit</u>	Action	10
7. Other Business.			

2024 POLICY & GOVERNANCE WORK PLAN

July 25, 2024 draft

2024 AREAS OF FOCUS	TO DO TASKS	IN PROCESS (PGC) 1. Identify information needed for decision 2. Review information; provide input 3. Decide whether/what to recommend to BOG	PGC TASKS DONE	IN PROCESS (BOG/HOD) 1. Identify information needed for decision 2. Review information; provide input 3. Decide action or refer back to committee.	BOG TASKS DONE
Strategic Governance					
	Adopt 2024 PGC Work Plan	<ul style="list-style-type: none"> January. Discuss draft plan and decide whether to adopt 	<ul style="list-style-type: none"> 1/12 PGC adopted 2024 work plan 		<ul style="list-style-type: none"> 2/23 BOG adopted PGC work plan
	Support Access to Justice Strategic Planning. <ul style="list-style-type: none"> Consider how to incorporate Rural Practice Project 	<ul style="list-style-type: none"> February. Reviewed draft framework for A2J landscape analysis May. Update provided. July. Provide update. September. A2J gap analysis update 	<ul style="list-style-type: none"> 		
	Support Well-Being and Diversity & Inclusion Planning	<ul style="list-style-type: none"> May. Update provided July. Provide update 			<ul style="list-style-type: none">
	Consider whether and how to incorporate LPs into various OSB boards, committees, groups.	<ul style="list-style-type: none"> April. Discussed. 	4/19 PGC decided to pursue no statutory changes at this time, and to monitor program.	<ul style="list-style-type: none"> 	
	Flat Member Growth <ul style="list-style-type: none"> Consider whether to propose changes to comity to eliminate 2-year practice requirement Marketing 	<ul style="list-style-type: none"> June. Discussed options and decided to wait for A2J gap analysis. Budget for either marketing or economic survey for 2025. 		<ul style="list-style-type: none"> 	
Program Development,					

Review and Oversight					
	Consider sunseting Fee Arbitration Program.	<ul style="list-style-type: none"> February. Discussed. Asked for additional information. April. Discussed. 	4/19 PGC decided to recommend the BOG sunset current program and work with ASP to develop new alternative.		<ul style="list-style-type: none"> 4/19 BOG approved development of alternative program with ASP
	Review New Impact Report and Provide Feedback	<ul style="list-style-type: none"> September. Discuss 		<ul style="list-style-type: none"> 	BOG review
	Revisit Program Review Process – discuss possible changes	<ul style="list-style-type: none"> September. Discuss 		<ul style="list-style-type: none"> 	
	Consider whether to sunset OSB groups (Leadership Institute Advisory Committee; Legal Heritage Interest Group; Procedure & Practice Committee)	<ul style="list-style-type: none"> January. Receive recommendations from OSB groups and decide how to proceed. 	<ul style="list-style-type: none"> 1/12. PGC decided to recommend sunset of all three groups. 		<ul style="list-style-type: none"> 2/23 BOG sunset all three groups
	Consider revisions to OSB Awards	<ul style="list-style-type: none"> July. Discuss 	<ul style="list-style-type: none"> 		<ul style="list-style-type: none">
Policy Issues					
	Consider Adoption of Social Media Policy for Sections and other Bar Groups	<ul style="list-style-type: none"> 			
	Institutionalize Pay Parity between PLF and OSB	<ul style="list-style-type: none"> May 	<ul style="list-style-type: none"> 5/24 PGC decided to recommend amendments to the OSB Bylaws & Policies to institutionalize pay parity. 		<ul style="list-style-type: none"> 6/28 BOG notice 9/27 BOG agenda
	Consider whether to create a Senior Lawyer Division	<ul style="list-style-type: none"> May & June. Discussion 	<ul style="list-style-type: none"> 6/27 PGC decided to table until A2J gap analysis done and consider as part of overall strategic planning. 		
	MCLE Credit for Civics Education and Poll Watching	<ul style="list-style-type: none"> January. Receive recommendation from 	<ul style="list-style-type: none"> 1/12 PGC decided to accept MCLE 		

		MCLE Committee and decide how to proceed.	Committee recommendation and not pursue further.		
	ABA Proposal to Amend RPC 5.5 (Multijurisdictional Practice)	<ul style="list-style-type: none"> February. Decide whether to recommend comments on the proposal 	<ul style="list-style-type: none"> 2/22 PGC decided to recommend the BOG submit comments to the proposal 		<ul style="list-style-type: none"> 2/23 BOG approved submission of comments
	HOD Rules of Procedure	<ul style="list-style-type: none"> February & May. Discussion of whether to make additional changes to the HOD rules. 	<ul style="list-style-type: none"> 5/24 PGC decided to recommend the BOG submit proposed changes to the HOD 		<ul style="list-style-type: none"> 6/28 BOG approved changes
	Review process for issuance of Public Policy Statements	<ul style="list-style-type: none"> May. Reviewed the process. No changes recommended. 			
	Reimbursement Policies	<ul style="list-style-type: none"> July. Discuss 			<ul style="list-style-type: none">

MINUTES

BOG Policy & Governance Committee

Meeting Date: June 27, 2024
Location: Oregon State Bar Center, Tigard, Oregon
Chair: Myah Kehoe
Vice-Chair: Gabe Chase
Members: Joseph Hesbrook, Megan Houlihan, Matt McKean, John Marandas, Robert Welsh, Nik Yanchar.
Other: Ankur Doshi, Dave Rosen, Mike Williams, Danielle Edwards, Heather Bowman, David Johnson, Michael Dunlap, Catherine Petrecca, Richard Appleyard, David J. Scott
Staff Liaison: Helen M. Hirschbiel

Charge: Develops and monitors the governing rules and policies relating to the structure and organization of the bar; ensures that all bar programs and services comply with organizational mandates and achieve desired outcomes. Identifies and brings emerging issues to the BOG for discussion and action.

1. Minutes. Nik Yanchar moved and John Marandas seconded to approve the minutes from the May 24, 2024 Policy & Governance Committee meeting. The motion passed unanimously.

2. Lawyer Referral Service. Ankur Doshi presented the information contained in his memo. Committee members suggested that we increase the amount of time for the consultation and the cost for the consultation. Thirty minutes is not long enough for an initial consultation. Also, language suggests that if you accept a consultation, you have to take the case, or at least talk with the client for more than 30 minutes. It is a good idea to be specific about what is included in the consultation, but impossible to complete all of the requirements in the time given. Committee members also expressed concern that the additional requirements may result in panelists dropping off. Staff will bring this feedback back to the LRS panelists and revisit. Matt McKean moved to table the changes related to LRS consultation and to accept the changes related to conditional admission. Nik Yanchar seconded. The motion passed unanimously.

3. Reinstatement Rules. Ankur Doshi presented the information contained in his memo. There a number of grammar issues. Matt McKean moved to approve the proposed changes in the rules subject to changes for grammar and syntax. Nik Yanchar seconded. The motion passed unanimously.

4. Senior Lawyer Engagement. Danielle Edwards presented the information contained in her memo. The senior lawyers groups in other states struggle finding a purpose that does not

overlap with other bar groups. Nik Yanchar suggested surveying senior lawyers to find out whether they have any interest in having a separate group. David Rosen said we still need to figure out the why and shared feedback he received from senior lawyers in response to his last president's message. Committee members questioned whether we should wait to consider this idea until we have the results from the gap analysis and are further along in our strategic planning. Matt McKean moved to table and Meg Houlihan seconded. The motion passed unanimously.

5. Flat Lawyer Curve. Helen Hirschbiel presented information about the different things the bar has done to increase funnel of lawyers into Oregon – comity, UBE, SPPE. Dave Rosen talked about the delivery of what is already there, that is, how to market what we have and to whom? For example, making our website better overall—in particular the job postings and admissions pages need work. Also, we should ask how to include employers in the conversation? Employers in Oregon are concerned about hiring lawyers from out-of-state because they are not up-to-speed on the local rules of the state. Helen noted that there is a 15-hour CLE requirement on local rules for lawyers who are admitted via comity. Perhaps we should look at whether that package should be updated? One member suggested that we consult with someone who is knowledgeable about recruiting attorneys. Alaska sends judges to law schools to recruit individuals from out of state. Helen noted that about 2/3 of bar members come from in-state schools. One member asked what the law schools are doing to incentivize law students to stay in the state. Is there a way to break down the numbers of where new lawyers are coming from? Also, how are they deciding how many students to admit? Are they doing an economic analysis of legal needs in Oregon overall? Dave Rosen noted the possibility of doing a study of legal needs beyond low-income individuals. Several members expressed interest in that idea. Helen noted that this feedback is all helpful in strategic planning process.

6. Other Business.

**Request for Proposal (RFP):
OSB Strategic Planning**

Oregon State Bar

SUMMARY OF REQUEST: This RFP seeks proposals from consultants to develop a strategic plan around diversity, equity, inclusion (“DEI”), and well-being (“WB”) for the programming of the Oregon State Bar (“OSB” or “bar”). The selected consultant will review past OSB strategic plans, and information gathered around these topics and facilitate conversations with key external and internal stakeholders to identify goals for the plan and prioritize actions to achieve those goals.

RFP SCHEDULE:

Issue RFP	May 28, 2024
Questions Deadline	June 5, 2024
Questions Response Deadline	June 12, 2024
Deadline to respond to RFP	June 20, 2024
Decision Date	July 8, 2024

BACKGROUND:

The Oregon State Bar regulates the legal profession in Oregon and provides programs and services to improve the quality of legal services and increase access to justice. The OSB is a public corporation and instrumentality of the judicial branch created by the legislature to serve the public interest by performing the following statutory functions, for which its governing board has adopted corresponding goals:

- Regulate the Legal Profession and Improve the Quality of Legal Services. Our goal is to cultivate competence, integrity, diversity, equity, inclusion, and well-being in the legal profession.
- Support the Judiciary and Improve the Administration of Justice. Our goal is to protect and advance the quality, integrity, diversity, and impartiality of the judicial system.
- Advance a Fair, Inclusive, and Accessible Justice System. Our goal is to foster trust in, respect for, understanding of, and access to the justice system.

The OSB is a mandatory bar, which means that individuals must be a member of the bar to practice law in Oregon. The bar has both lawyer members and, as of this year, paralegal members. The Oregon Supreme Court has the inherent authority to regulate the practice of law but has delegated the administrative work to the OSB. The Court oversees the bar’s regulatory function in several ways, including review of the bar’s regulatory budget, approval of all regulatory rules, and review of certain regulatory decisions.

The OSB has a multi-pronged mission and multiple and diverse stakeholder groups to which it is accountable.

PROJECT LEADERSHIP AND STAKEHOLDERS:

The Oregon State Bar is governed by a Board of Governors (“BOG” or “board”). In addition to the BOG, there are three OSB volunteer stakeholder groups that we anticipate being involved at some level in the planning process: the OSB Advisory Committee on Diversity & Inclusion (“ACDI”), the OSB Quality of Life Committee (“QOL Committee”), and the Oregon Attorney Assistance Program (“OAAP”).¹

External stakeholder groups that we anticipate being consulted or otherwise engaged in the process include the various volunteer affinity bars, the state court administrator’s office, and Oregon’s three law schools.

In terms of OSB staffing, we expect the following internal staff to participate in the process: OSB CEO, Chief Equity and Professional Development Officer, Director of Diversity & Inclusion, Member Services Manager, Deputy General Counsel, Executive Director of the OAAP, and the PLF CEO. We expect additional OSB and PLF staff to be consulted or otherwise engaged on an as-needed basis.

The Chief Equity and Professional Development Officer and the Director of Diversity & Inclusion will be the primary contacts and responsible for working with the consultant to drive the process forward. The bar will provide administrative support to assist with scheduling, compiling, and sharing documents.

PROJECT DESCRIPTION, TIMING AND BUDGET RANGE:

The OSB has already engaged a consultant to initiate and facilitate the process of strategic planning around its third goal of advancing a fair, inclusive, and accessible justice system. We are not looking for assistance in developing a strategic plan to increase access to justice.

The OSB has also already engaged a consultant to initiate and facilitate the process of strategic planning around workplace culture. Therefore, we are not looking for assistance in developing a strategic plan that addresses DEI and WB issues related to the bar’s workplace or employees.

Instead, we are seeking assistance with developing a 5-year strategic plan that focuses on the bar’s remaining two statutory functions, with a focus on DEI and WB in the legal profession. We anticipate this will involve looking both at bar programs and services themselves and at how we run those programs and services. In other words, what types of programs and services could we develop or improve upon to better advance DEI and WB in the legal profession? And how can we change or adjust the operation of bar programs and services within the first two statutory functions to ensure they serve our goals around DEI and WB in the legal profession?

Finally, we would like to ground the plan in our existing theory of change framework as well as our statutory functions. We envision that staff will incorporate the plan around DEI and WB into that overall framework (as well as the access to justice and workplace culture planning). In the end, our goal is to have a single strategic plan that will provide for benchmarking and evaluation as we move forward. However, we are not asking the consultant to integrate all the pieces into a single plan – only those related to DEI and WB that you would be assisting the bar with developing. The consultant’s final product should allow for OSB staff to easily transfer the DEI and WB components into the bar’s existing framework.

In terms of process, we are not seeking to engage in an extensive gap analysis process. Instead, we aim to utilize input we have already gathered over the last several years as well as existing resources around best practices to inform gaps in the bar’s current programming, services, resources, and potential strategies. To the extent that we may identify a need to do extensive analysis into gaps (i.e. through surveys or focus groups), we would expect that

¹ The OAAP is a program of the Professional Liability Fund (“PLF”) which is part of the bar but operated independently with its own separate staff.

would be part of the strategic plan so that we can budget and plan for it separately.

At the same time, we want to inform all who are interested that the bar will be engaging in the planning process and seek open input at the outset of this process. Thereafter, we would like to engage a diverse group of internal and external stakeholders to help establish an overall vision and mission for the strategic plan that encapsulates our focus on DEI, WB in the legal profession, and access to justice and that acknowledges the need to consider and address operational sustainability.² And we want to engage this same stakeholder group in developing strategies and action items for the plan.

Please note: The OSB is subject to Oregon Public Meetings Laws. Any meetings that include external stakeholders (i.e. not just bar staff) require proper notice and are open to the public to attend. OSB staff will handle notice and minutes requirements; however, the consultant will be responsible for facilitating participation of any public members who attend committee meetings.

We have allocated \$30,000-\$35,000 for the planning process. If you think the project requires a higher budget or can be completed for less, please explain in the Budget and Costs section below. In particular, it would be helpful to know if there are specific aspects of the project that could be carved out and done by OSB staff to meet the budget requirements.

We want the final plan completed by the end of March 2025 but are open to extending the deadline to the end of May 2025, if necessary, to ensure an inclusive process.

EXISTING RESOURCES TO CONSIDER

Since 2012, the board has adopted a diversity action plan every 3-4 years. The [most recent plan](#) was intended to last through 2023, although we continue to work on a number of the initiatives contained therein. Prior plans and implementation reports can be provided upon request.

In 2019, the OSB conducted a survey of bar members to assess the current climate of the legal profession through a diversity, equity and inclusion lens. The [Climate Assessment Summary Report](#) is rich with data. The OSB partnered with the Multnomah Bar Association to conduct a subsequent survey in 2020 to understand the impact of COVID on those in caregiving roles. The presentation on the findings of both surveys can be found [here](#).

The OSB also conducts an economic survey every five years. The most recent report is from [2022](#).

In June 2022 leaders from the OSB, the PLF, Oregon courts, and Oregon law schools convened a conference to discuss the challenges to WB in Oregon's legal profession. Over six months, members of the bar met to discuss challenges to WB in the workplace and in law schools, regulatory and structural impediments to WB, and reducing vicarious trauma and stigma. In June 2023, their findings were published in the [Well-Being Workgroup Report](#).

In addition to the OSB resources listed above, there are significant resources available from the American Bar Association (ABA) and the Institute for Well-Being in the Law (IWIL) around best practices to advance DEI and WB in the legal profession.³

The OSB Theory of Change Framework and Evaluation Plan (mentioned above) can be provided upon request.

² Here, sustainability means the ability for the organization to operationalize the plan and continue action items into the future.

³ For example, in 2017 the National Task Force on Lawyer Well Being issued its report [The Path to Lawyer Well-Being: Practical Recommendations for Positive Change](#), which contains an extensive list of recommendations and best practices. Diversity, equity & inclusion resources from the ABA can be found [here](#).

WHAT TO SUBMIT:

You are invited to submit a proposal that covers the following components:

1. **Summary of why you're the right partner for OSB.** Please describe how your firm's specific skills and experience make you the right partner for the needs described in this proposal.
2. **Experience with strategic planning.** Please discuss your experience with strategic planning generally and specifically with planning around diversity, equity, inclusion, and well-being.
3. **Experience working with multiple stakeholders.** Please discuss your experience with facilitating and otherwise working with multiple and diverse stakeholder groups.
4. **Budgeting and costs.** Please provide the proposed budget for the project and, where possible, identify the different components and associated costs.
5. **Three case studies.** Please provide three case studies for work you have done that is most like that described in this RFP. Please describe the processes used and, general timeframe for key project milestones, and, if relevant, other organizations or firms involved.
6. **Team background and experience.** Please provide short bios of the team we will be working with on this project.
7. **Optional:**
 - Is there anything else you think we should know about our project? After reviewing this RFP, are there any concerns about what we're asking for?
 - Responses to the following inquiries about workplace diversity and related business practices, if applicable:
 - Describe your commitment to providing equal employment opportunities including your firm's or agency's efforts to develop an internal diverse workforce; internal on-the- job training, mentoring, technical training and/or professional development opportunities addressing diversity; and the process(es) used to recruit women and minorities.
 - Describe your firm's commitment to including diverse suppliers, vendors, and subcontractors in your business.
 - MWESB Identification (COBID – Certification Office for Business and Diversity)
 - Our business is a minority (or) women owned (or) emerging small business within the State of Oregon. COBID certification number: _____

CONTACTS AND INQUIRIES

Please send all inquiries regarding this RFP by 5 P.M. (PT) on June 5, 2024, to rfpresponses@osbar.org. Responses to questions will be provided via email upon receipt and will be published on the bar's website on or before June 12, 2024.

SUBMISSION PROCESS

Proposals will be accepted until 5 P.M (PT) on June 20, 2024. Please email all materials to rfpresponses@osbar.org. All proposals will be reviewed and evaluated. Finalists may be invited for a virtual interview.

THE SMALL PRINT - MISCELLANEOUS OTHER TERMS:

1. **Costs of Preparing Responses:** OSB will not pay any vendor costs associated with preparing proposals submitted in response to this RFP.
2. **Responses Property of OSB:** This RFP, correspondence related to the RFP, one copy of each original proposal received in response to it, and all documents pertaining to the award of a contract shall be kept by the Oregon State Bar and made a part of a file or record which shall be open to public inspection. If a proposal contains any information that is considered a trade secret under ORS 192.345(2), each sheet of such information must be marked with the following legend: "This data constitutes a trade secret under ORS 192.345(2) and shall not be disclosed except in accordance with the Oregon Public Records Law, ORS Chapter 192." The Oregon State Bar can protect trade secrets only to the extent permitted by the Oregon Public Records Law. The Oregon Public Records Law exempts from disclosure only bona fide trade secrets, and the exemption from disclosure applies only "unless the public interest requires disclosure in the particular instance" ORS 192.345(2). Therefore, non-disclosure of documents or any portion of a document submitted as part of a proposal may depend upon official or judicial determinations made pursuant to the Public Records Law.
3. **RFP Amendments/Cancellation/Reissue/Reopen:** OSB reserves the right to change the RFP Schedule or issue amendments to this RFP at any time. OSB also reserves the right to cancel or reissue the RFP. All such actions will be posted on the bar's website.
4. **Non-Collusion:** By submitting a bid, vendors certify, under penalty of perjury, that it, its agents, and parties in interest has not colluded or conspired with any other party in connection with this RFP, to submit a collusive or sham bid, to refrain from bidding, to manipulate or ascertain the price of other vendors, or to secure through any unlawful act an advantage over other vendors or the OSB. The bids submitted have been created independently and lawfully by the vendor without consultation with other vendors or foreknowledge of other bids. **Conflict Disclosure:** By submitting a bid, vendors certify, under penalty of perjury, that to the best of their knowledge and belief, no OSB Board member, officer, employee, or person paid by the OSB has a direct or indirect financial interest in the award of this contract. Finalist vendors will be required to disclose any other apparent or perceived conflict of interest, including current or past relationships with consultants, contractors, and subcontractors associated with OSB. If a perceived conflict may exist, the OSB may request further explanation prior to awarding the contract.
5. **Minor Administrative Irregularities:** OSB reserves the right to waive minor administrative irregularities contained in any response.
6. **Inability to Enter Contract:** OSB reserves the right to eliminate from further consideration any vendor that OSB is unable to contract with at the time responses are due in accordance with the project timeline outlined above.
7. **No Obligation to Enter a Contract:** The release of this RFP does not compel OSB to enter into any contract. OSB reserves the right to refrain from contracting with any vendor that has responded to this RFP whether the vendor's response has been evaluated and whether the vendor has been determined to be qualified. Exercise of this reserved right does not affect OSB's right to contract with any other vendor. OSB reserves the right to request an interview with any vendor and/or a demonstration from any vendor prior to entering into a contract.
8. **Multiple Contracts:** OSB reserves the right to enter contracts with more than one vendor because of this RFP.
9. **Non-Endorsement:** The selection of a vendor pursuant to this RFP does not constitute an endorsement of the vendor's services. The vendor agrees to make no reference to OSB in any literature, promotional material, brochures, sales presentations, or the like without OSB's express written consent.
10. **Contract Payment Limitations:** The contract may provide for periodic payments based on completion of agreed upon milestones. Vendors should anticipate payment at the end of the invoice period in which they provide services or after they submit any deliverable for which a payment is due.



June 17, 2024

rfpresponses@osbar.org
Oregon State Bar

Re: Proposal to Develop Strategic Plan Around DEI & WB for OSB Programming

To Whom It May Concern:

We are writing in response to your RFP requesting a consultant to support the Oregon State Bar (OSB) in developing a strategic plan for diversity, equity, and inclusion (DEI) and well-being (WB) for its programming and services.

We believe we are uniquely qualified to support ELAW in this endeavor given our collective experience, backgrounds, and knowledge in DEI and the legal field. Since our company launched in 2015, we have supported nearly 350 organizations, agencies, and institutions in various aspects of DEI. This includes creating DEI strategy/implementation plans for around 50 organizations.

More detailed information on why we are the right partner for OSB is provided in the detailed proposal below. Please note that the budget we have provided exceeds the budget range in your RFP, but we hope you will consider it a starting point for further discussion, as we always endeavor to work within a client's budget.

Thank you for your consideration.

Best,

aparna rajagopal

1. Why The Avarna Group?

We are the right partner for OSB for several reasons.

- aparna was a lawyer for a decade practicing in Wyoming and California and is familiar with how bar associations work and with the unique DEI & WB challenges that exist in the legal profession. As a lawyer, she served on DEI committees. She also served as a guardian ad litem for minors through the Wyoming State Bar and served on the leadership team of the South Asian Bar Association in the Sacramento area.
- Though aparna is not a practicing lawyer, she is also keeping a close eye on the spate of lawsuits and legislative advocacy bubbling up across the country that are attacking various DEI initiatives. She wrote a blog post about it [here](#) and is in the process of collaborating on a longer article directed to internal DEI leaders and DEI practitioners. Though DEI is relatively secure in Oregon, there have still been efforts to undermine DEI, including a lawsuit in Cook County challenging racial preferences in procurement policies. The key takeaways are that government agencies in particular are vulnerable to attacks from well-funded political action groups and it will be important to thread the needle in creating recommendations and a plan to support the OR State Bar with DEI and WB while also insulating the Bar from potential liability.
- aparna & Kellum (the primary team members who will support this project) are based in Oregon and have worked with several Oregon state agencies and their staff, including the Oregon Water Resources Department, Oregon Department of Fish & Wildlife, Oregon Watershed Enhancement Board, the Department of Oregon Geological and Mineral Industries, and the Illinois Valley Soil and Water Conservation District.
- As a state commissioner for the Oregon Commission for Asian & Pacific Islander Affairs and member of the Oregon Environmental Justice Council, one of aparna's primary responsibilities is to advise state agencies on DEI and WB issues impacting marginalized communities in Oregon.
- The Avarna Group has worked with associations that have a membership structure similar to the OR Bar, such as the American Society of [Climate] Adaptation Professionals, National Recreation & Parks Association, and Association of Outdoor Recreation & Education.
- The Avarna Group has supported both operational/internal DEI and belonging efforts and external/programmatic DEI efforts for similar organizations and agencies.
- Related to programs, the Avarna Group has conducted program assessments and provided programmatic DEI recommendations for organizations and associations that have similar programming and services as the OR Bar, including publications, learning, and certification programs.
- The Avarna Group's approach aligns with the unique needs presented in your RFP to utilize existing information rather than starting from scratch with a gap analysis. We endeavor to meet our clients where they are and build on their successes.

2. Experience with DEI & WB Planning

We have worked with over 350 organizations since launching in 2015. We have supported DEI strategy in three ways: (1) strategic planning with a DEI lens; (2) integrating the DEI planning process into existing strategic planning efforts so the processes are aligned and not happening in parallel silos; and (3) building standalone DEI plans that complement existing strategic plans. Some examples of organizations we've done this work for include:

- [Alaska Wilderness League](#)
- [American Hiking Society](#)
- [American Rivers](#)
- [California State Parks Foundation](#)
- [CalTrout](#)
- [Center for Humans & Nature](#)
- [Clean Energy Group](#)
- [Columbia Land Conservancy](#)
- [Conservation Lands Foundation](#)
- [McKenzie River Trust](#)
- [Opal Creek Ancient Forest Center](#)
- [Resources Legacy Fund](#) plan ([personal and organizational mandate](#), and [board statement](#))
- [Save the Redwoods League](#)
- [Southern Maine Conservation Collaborative](#)
- [Washington Trails Association](#)
- [WildEarth Guardians](#)
- [Wild Montana](#)

Our approach to DEI and WB planning is detailed in our catalog [here](#), though we always tailor the process depending on our client's needs.

3. Experience working with multiple stakeholders

A quick note on terminology: We don't use the term stakeholder because our indigenous colleagues have expressed that the term is exclusionary for multiple reasons. We will use the term constituents or rights holders (the latter for sovereign Native communities).

Most of our clients have multiple constituencies who may at times have different agendas and relationships with DEI and WB. This includes entry/mid-level staff, leadership, boards, chapters, advisory groups, affinity groups and employee resource groups, donors, grantees, volunteers, members, and partner organizations and institutions. In our strategic work, we try not to leave any of these constituencies out of our process, and in fact center the input of the most impacted constituents in making DEI recommendations. Touchpoints that various constituents may have with our work include:

- DEI committee/workgroup structure: ideally representatives from all constituencies are part of the DEI committee or workgroup that is steering the work for the organization
- Visioning: we want a vision for DEI and WB to be co-created by all who are impacted by the organizations DEI/WB work, so in the visioning process (described on page 4) we endeavor to engage with a participant group that is representative of all constituencies.
- Data gathering: we want to make sure the process is informed by all who are impacted by the work, so we gather both quantitative and qualitative data from all constituencies though we understand that for this scope of work much of this data already exists.
- Feedback on DEI plan: When we make final recommendations, we engage in an iterative feedback process that seeks input from all constituencies. We create clear decision-making guidelines so everyone knows how their input will be considered.

- Navigating tensions/conflicts: Throughout our process we often have to manage tensions in various constituent’s interests and buy-in to DEI and WB work. This happens either through one-on-one conversations or supporting internal DEI leaders in having these one-on-one conversations. This can also happen in a learning setting where we teach an internal workgroup or committee how to have difficult conversations.

4. Budget

Our work is performed at an hourly rate that includes facilitation preparation and facilitation, calls, document review, collecting and analyzing data, creating reports, drafting other documents, substantive email correspondence, and providing guidance on creating and editing deliverables. We do not bill for time spent on scheduling or basic logistics. Our rate for an organization with your budget is \$450 per person per hour. Below is an estimate of the hours we will spend on each service; we endeavor to stay within the allotted hours and notify clients before we go over the allotted hours. For any travel, we ask to be reimbursed for the direct cost of flights, rental cars, and other forms of travel. We ask for GSA rates for lodging, meals, and incidental expenses.

Service (details provided below table)	Timeline	Hours	Budget
a. Ad hoc consulting & regular check-ins	August 2024 onwards	10	\$4,500
b. Coordination with other consultants (alignment on the work that is happening with a fair, inclusive, and accessible justice system and workplace culture will be crucial)	August 2024 onwards	8	\$3,600
c. Document review and analysis	September 2024 - December 2024	25	\$11,250
d. DEI/WB Visioning with diverse constituents: this includes a pre-visioning survey and multiple facilitated sessions to help establish an overall vision and mission for the strategic plan that encapsulates all of the DEI/WB objective (may be co-developed with other consultants currently working with OR Bar)	Fall, 2024	30	\$13,500
e. Developing recommendations to support DEI/WB in the legal profession (with recommendations on further data gathering to include in the strategic plan)	January - March, 2025	20	\$9,000
Estimated Total			\$41,850

5. Case Studies

PROJECT 1: Resources Legacy Fund DEIJ Plan building: We engaged with Resources Legacy Fund (RLF) in 2019 to build a DEI plan for the organization. The goal of the project was to support the organization in building out a holistic and approachable DEI plan for their growing organization and support staff learning about various DEI topics. Our approach was designed to be collaborative and flexible with RLF as we continued to get to know them throughout the process.

We began our engagement with a process to get to know RLF and specifically their DEI committee. We established communication channels between our liaison and the DEI committee and talked about how we could all work best together. From there, we launched into our work with staff and board. Our work included building a vision (with staff and board), collecting staff data via a quantitative culture assessment, collecting staff data via qualitative listening sessions, providing an in-person workshop for staff, providing the board with workshops and frequent updates, and finally building a data-informed DEI plan. We supported the DEI committee in facilitating an editing process for the plan so we could include all staff input. This resulted in a plan where staff's voices, concerns, ideas, and needs were included, making the plan a collaborative effort rather than a mandate. After the plan was built, we continued to support the implementation of the plan (via additional education and ad hoc consulting) in areas where we had expertise and pointed RLF toward other outside support to address other areas of work that are outside of our expertise.

Challenges and solutions: We encountered a few challenges during this project. The most disruptive was the beginning of the COVID-19 pandemic. Our work with RLF started in late 2019 and continued through 2021. In the middle of our planned work, we had to shift everything to a virtual setting. Our approach at this moment was to be creative and patient. We were able to successfully translate all of our services to an online platform within a month and worked to capitalize on the inherent benefits of virtual engagements while being honest about the drawbacks. We also worked to be patient with our clients so they could feel settled in a new virtual work environment.

Additionally, like most DEI work, we also encountered issues related to personnel. While the details will remain confidential, our approach to working through any personnel issue is to communicate openly and honestly with those who are closest to the issue while maintaining confidentiality throughout. As consultants, we believe it is our job to surface difficult issues and support the responsible and impacted parties in finding a path forward. We are also very clear with all involved about the limits and boundaries of our expertise and power. Our expertise is in supporting structures to shift culture and coaching individuals through a change management process. However, we are not human resource specialists and are not the right people to be directly involved in conflict resolution that is not directly connected to our work. Moreover, we are clear with all parties that as third party consultants, we do not and should not have the power to make any final decisions about how to resolve a personnel issue.

Successes: The biggest success of the project was creating a plan with staff that has been actionable, as evidenced by RLF's [2021 progress report](#) and [2022 progress report](#). The plan itself is reflective of and capitalized on staff's existing DEI expertise and excitement and bolstered by our suggestions, reflecting the power of a collaborative effort. Additionally, we were able to successfully transition all our work to a virtual setting. We capitalized on what the virtual setting could offer that an in-person setting could not. For example, we were able to use online tools like Slido to engage folks in anonymous polls and questions to open up difficult conversations. We also took advantage of our ability to schedule several shorter sessions (e.g. 2 hours) over a few weeks rather than rely on one long in person setting. This provides the time and space for participants to digest information at a slower pace and allows us to provide resources or prompts to support their learning in between sessions.

Reference information: Helena Choi, Vice President, Resources Legacy Fund, HChoi@resourceslegacyfund.org

PROJECT 2: JEDI Collaborative: The overall goal of the project was to catalyze change in the natural products industry and better integrate justice, equity, diversity and inclusion (JEDI) into the industry. We began by convening several companies in the natural products industry who expressed interest in being part of a JEDI pilot program. We worked with those companies to lay down some foundational ideas about what JEDI means and why it is important to the natural products industry. We then took a step back to ask leaders about what support they felt like they needed to catalyze JEDI in their own companies as well as what the industry as a whole might be responsive to. Through several conversations and convenings, we began to brainstorm how to create an [accessible and flexible platform](#) for natural products companies to support their JEDI journey. Alongside building the platform, we engaged in pilot projects with individual companies and participated in industry-wide convenings to better communicate about how JEDI work makes for a better natural products industry and highlight the myriad ways that companies were already engaging in innovative JEDI work. As the JEDI platform began to gain traction, the team at OSC2 recognized the need for several pathways to engage in JEDI work. We advised the team on how to create different pathways for engaging different companies and provided educational content for a specific pathway.

Challenges and solutions: When trying to create change across an industry, we had to recognize that we had very limited time with companies and were competing against other priorities, such as product development, financial stability, and more. This was true with both the companies who participated in pilot work as well as companies who we hoped would engage with the platform. This meant we needed to find concise and compelling stories, anecdotes, and data to pique their interest and invite them into the conversation without it feeling like a forced sales pitch. We took a cue from activist Toni Cade Bambara and sought to make the work of JEDI not just feasible, but irresistible. We found the most success in sharing stories about other companies' inspiring efforts as well as highlighting how the ethos of many natural product companies was already deeply tied to JEDI work. For example, many companies are committed to regenerative agricultural practices as a climate mitigation strategy. We worked to connect the dots between how regenerative agriculture is also connected to restoration of Indigenous food sovereignty and agricultural laborers' health and safety. By connecting these dots, leaders began to understand how JEDI work was not only complementary to the work they had been doing, but in fact an essential part of fully realizing their values.

We also ran into challenges creating content that would be broadly applicable to companies while also specific enough to support taking action. In the natural products industry, company size and product type can vary greatly. We knew that we needed to create content that would speak to the specific industry so they could see the pathway ahead, but also account for the vast diversity of company structure in the industry. To solve this issue, we supported the OSC2 team to build out various pathways to engage with the resources available at the JEDI Collaborative and built out educational materials that gave participants frameworks rather than prescriptive advice. This, coupled with ample discussion and reflection time in educational settings, allowed participants to build their own tailored strategies and build the skills necessary to continue to take action even after a formal training. Finally, we provided opportunities for peer-to-peer learning to take a more network-based approach to sharing ideas and resources.

Successes: The successes of this project are all related to building skills and confidence to do JEDI work. A common refrain at the Avarna Group is that we would like to work ourselves out of a job, meaning our clients feel so well equipped to engage in DEI/JEDI work, they no longer feel the need to seek out the support we provide. This happened with the JEDI Collaborative on two levels. First, we have witnessed companies more seriously and holistically engage in JEDI work at their company by using the resources available to them on the JEDI Collaborative website. Further, we did focused work with the staff at OSC2 to build their confidence and clarity in creating, maintaining, and adapting the JEDI Collaborative. In the first year of our interactions, they were reliant upon our guidance and advice. Today, several years later, they have a team of staff who have the requisite skills and confidence to run a successful and sustained industry-wide effort to further JEDI work.

Reference information: Cynthia Billops, VP Operations, Membership, and Belonging at JEDI Collaborative, cynthia@osc2.org

PROJECT 3: Clean Energy Group & Clean Energy States Alliance: The overall objective was to create a DEIJ Implementation Plan for the quickly growing Clean Energy Group and Clean Energy States Alliance, both of which are part of a single organization but operate differently. We began by meeting with the new executive director to get a sense for what was challenging the organization as it relates to DEIJ, and to understand the unique nature of the Clean Energy States Alliance, a membership organization that works with State agencies and public utilities on clean energy policies and programs. We started with a learning series to build rapport and support staff in gaining basic awareness, knowledge, and skills with DEIJ topics. We then hosted a visioning series to galvanize staff and board across both organizations around (1) what DEIJ means, (2) why it is important in the clean energy sector, and (3) what commitments the sister organizations could engage in separately and together to advance DEIJ. The final vision statement is published online [here](#). We then gathered both qualitative and quantitative data to flesh out the commitment statement and build a holistic plan.

Challenges & Solutions: One major challenge is the quickly shifting landscape of the energy sector given the influx of investment through the Infrastructure Reduction Act and Bipartisan Infrastructure Law. As a result, the organizations were growing quickly, with new staff joining monthly and staff lacking bandwidth to engage in the DEIJ process on top of learning their jobs

and prioritizing programmatic work under tight deadlines presented by legislation. To solve this, we built rapport with new staff members and right-sized the plan (with multiple phases over several years) to help staff feel it was accomplishable. There were also generational tensions to navigate as the founding staff had to let go of some power and defer to younger staff to lead some of the efforts. To resolve this, we had to have some challenging conversations with leadership and facilitate cross-organizational conversations around culture. A final challenge was creating a plan that would pass muster with the board of the Clean Energy States Alliance, which is mostly state agency personnel. Given not all states are on the same page about DEI, this was a tricky process to navigate. To address this, we tried to create strategies for the organization that were not as controversial, and left the more bold strategies to the Clean Energy Group (which had more flexibility as a nonprofit).

Successes: One success was that our process collaterally created a lot of trust between the new ED and incoming staff (though that wasn't the primary objective). The vision statement was also a success, and the final plan helps not only the two organizations advance DEI, but helps them transform the entire clean energy sector.

Reference information: Seth Mullendore, Executive Director, seth@cleanegroup.org

6. Team Background and Experience

[The Avarna Group](#) is an Oregon LLC with three members who work in partnership and each lead various work streams. If awarded the contract, two Avarna Group staff will work on this project and subcontract with Dr. Kellum Tate-Jones of [Refugium, LLC](#) to support training & facilitation:

aparna rajagopal, J.D. (she/her) | Kalapuya ilihi (Eugene, Oregon).

- *Short bio:* aparna is a thought leader, agitator, amplifier, and advisor who thrives at the confluence of equity and justice work and the mission-based nonprofit sectors. aparna has made it her life's work to catalyze the radical reimagination of human relationships to land, water, and wildlife to center values of reciprocity, humility, compassion, and interdependence. She does this through writing, speaking, strategic consulting, listening, data gathering, facilitating workshops, coaching, and facilitating affinity spaces within this sector. A more detailed resume can be found online [here](#).
- *Roles & responsibilities:* aparna is the founding partner at the Avarna Group and will be the project manager should the Avarna Group be awarded this contract. aparna has managed hundreds of projects for the Avarna Group with teams of as many as 6 consultants working together to support individual clients.
- *Current engagements:* aparna works with mostly U.S.-based environmental, conservation, outdoor, climate, energy, and oceans organizations, including Oregon institutions like the [Oregon Water Resources Department](#), [Pure Water Partners Program](#), the [Upper Willamette Soil & Water Conservation District](#), the [Siuslaw Coho Partnership](#), and the [Upper Willamette Stewardship Network](#).
- *Education & Experience:* aparna has a degree in chemical engineering from Harvey Mudd College, a law degree from the George Washington University School of Law, and is a Certified Diversity Professional. She is a former groundwater hydrologist and natural resources and environmental lawyer who transitioned to DEI work in 2010 after a decade of practicing law in California and Wyoming. However, she continues to work adjacent to

the legal field (including in collaborations with lawyers on legal implications of the anti-DEI backlash). aparna has conducted organizational assessments, facilitated DEI trainings, and built equity frameworks and action plans for hundreds of organizations and agencies in the conservation, environmental, and outdoor space since 2010. Her clients include nonprofits, for profits, multi-stakeholder collaboratives, associations, foundations, and federal, state, and local agencies. She has worked with constituents at every level of an organization, including board members, executive leadership, mid- and entry-level staff, interns, and volunteers. aparna is co-founder of [People of the Global Majority in the Outdoors, Nature, and the Environment](#), and serves on the boards of the [Living Oak Center for Applied Decolonization](#), [Brown Girls Climb](#), and [Dirt Maidens](#). She also serves as a state commissioner for the [Oregon Commission for Asian & Pacific Islander Affairs](#) and is a member of the [Oregon Environmental Justice Council](#).

Dr. Kellum Tate-Jones (she/her) | Kalapuya ilihi (Eugene, Oregon)

- *Short bio:* Kellum is passionate about the ways storytelling and our personal relationship with the land can foster community and sustainability. She hosts storytelling events in environments varying from geoscience conferences to the Oregon Country Fair and works as a field-based science camp instructor for 6th-12th graders during the summer.
- *Roles & responsibilities:* Kellum is principal of Refugium, LLC, an Oregon-based company that works to cultivate counterspaces in the natural sciences for individuals who face systemic oppression while simultaneously striving to transform institutional cultures so that people of all backgrounds are seen and celebrated as their full authentic selves.
- *Current engagements:* Kellum is working with multiple organizations to promote both DEI and sustainability, including Oregon-based institutions like the Eugene [Network Charter School](#), the University of Oregon [Rehearsals for Life](#) initiative, and the [Illinois Valley Soil and Water Conservation District](#). Nationally, she is working with the Cascadia Region Earthquake Science Center and has worked with the [GeoScienceWorld](#) publication platform and the [Voices of Integrating Culture in Earth Sciences](#) grant program.
- *Education & eExperience:* Kellum holds a doctorate in Earth Sciences, providing her with personal insight into the culture of a range of natural science workplaces, including the academy, museums, industry, and government agencies. Over the course of her Earth sciences doctorate, Kellum received extensive training in equitable pedagogy, curriculum design, program facilitation, and bystander intervention. She holds a certificate in community storytelling from [The Hearth](#) and is a current member of the Rehearsals for Life DEI-focused community of practice. Kellum has over 7 years of experience developing and implementing programs designed to advance DEI in the geosciences and the broader academic setting. Since finishing her doctorate in Earth sciences in June 2023, Kellum has completed a number of projects related to community engagement and DEI. She worked with the [Department of Oregon Geological and Mineral Industries](#) to enhance community engagement and develop a fossil data collection and storage plan for the Oregon Paleo Lands Center in Fossil, Oregon, and the University of Oregon [Office of the Provost](#) to plan and facilitate a workshop series on culturally responsive mentorship.

Optional questions

A. COBID-certification

We are COBID certified as a Minority and Women-Business Enterprise. Our COBID certification number is 14760.

B. Our commitment to providing equal employment opportunities and our efforts to develop an internal diverse workforce; internal on-the- job training, mentoring, technical training and/or professional development opportunities addressing diversity; and the process(es) used to recruit women and minorities

Since launching our firm as a two-person endeavor in 2015, we have worked to actively live our DEIJ values in how we operate. This includes the following:

- Recruiting team members with the goal of ensuring diversity across multiple identities, including race/ethnicity, gender identity, sexual orientation, and age. Currently, we have three employees, and the remaining team members are contract staff. Since our inception, we have partnered with team members who identify as LGBTQIA+, Black, Latine, South Asian, Southeast Asian, gender nonbinary, disabled, and of all ages from 20s to 60s.
- We have a professional development fund that supports all of our employees and contract staff with up to \$1,000 in professional development every year (which can include conferences, trainings, retreats, book purchases, and more)
- We allocated 10% of our profits to a fund to support team members in pursuing passion projects or engaging in resilience work. These projects had no income generation. Through this fund, we supported our team member Sophie Sarkar in co-facilitating a Black & Asian solidarity series, we supported José González in writing and publishing his pieces as well as hosting a monthly DEI practitioner of color affinity group, and we supported CJ Goulding learning about podcast hosting and hosting one episode of the Outside Voices podcast.

C. Our commitment to including diverse suppliers, vendors, and subcontractors

We have already discussed our commitment to diversity in contractors who are on our team. In addition, we are committed to promoting diversity in our vendors and suppliers, including where we purchase office supplies and do printing, bookkeeping services, food services, and even software providers. Some of the key principles we operate on (which we also recommend our own clients integrate into their procurement process) include:

- Ensuring our contracts employ [Equitable Contracting](#) terms
- Ensuring contractors are aware of opportunities by posting opportunities not only on our website but on diversity job posting sites and affinity sites, as well as social media.
- Breaking up scopes of work into a series of smaller contracts so we are able and willing to subcontract to smaller firms and solo practitioners
- Prior to closing an application process for a contract position, requiring a diversity in the pool of those who have submitted applications, including racial diversity, gender identity diversity, sexual orientation diversity, age diversity, and more.
- Avoid onerous requirements to have commercial liability insurance policies or prohibitions on driving personal vehicles for business purposes for professional services contractors

- Prioritizing contractors from communities being served by the contract.

Oregon State Bar Strategic Framework

	Oregon State Bar Strategic Framework									
Function	Goal	What programs, services, activities support this function?	DEI Lens	A2J Lens	Well-Being Lens	What do we already know? What information do we need? (Should we do a survey, talk with stakeholders in focus groups, etc?)	What more might we do? Are there things we do now that we should no longer do or do differently? (ideas about areas for strategic growth; consider SWOT analysis)	Who is working in this space? Are we an Owner, Participant, or Consultant?	How should we prioritize work? What resources do we need? What will be the measures of the impact of the work?	NOTES
Advance a Fair, Inclusive and Accessible Justice System	Foster Trust in, Respect for, Understanding of and Access to the Justice System	Legal Services Program Pro Bono Programs Oregon Law Help Referral & Information Services Loan Repayment Assistance Program Diversity & Inclusion Programs								
	Improve awareness and knowledge of the legal system									
	Increase access to legal information resources that people need									
	Improve delivery of equitable, ethical, quality legal services									
* These goals have not been fully vetted or adopted. They are still in process.										

OREGON STATE BAR

Policy & Governance Committee Agenda

Meeting Date: July 26, 2024
From: Helen Hirschbiel, Chief Executive Officer
Keren Farkas, Chief Access to Justice Officer
Cathy Petrecca, Member Services Manager
Re: Rural Access to Justice Updates

Issue to Discuss

Receive an update on the OSB current efforts and programming to support access to justice in rural communities in Oregon.

Oregon New Lawyers Division

In 2023, the Oregon New Lawyers Division (“ONLD”) conducted a survey of rural practitioners to understand the advantages and challenges of rural law practice. One of the challenges expressed was recruiting and retaining new lawyers into rural communities. Two recommendations stood out above the others for how the bar can help with this challenge: connect law students with rural job opportunities and financially support law students who want to engage in summer work opportunities in rural communities.

This year, in response to that input, the ONLD has engaged in several activities specifically targeted at supporting rural practitioners and their recruitment efforts.

- **Rural Jobs Travelling Road Show:** The ONLD convened a workgroup to plan educational events at each Oregon law school. The group has scheduled a three-day Rural Jobs Travelling Road Show, with a lunchtime stop at each Oregon law school. These events will take place as follows:

September 24: University of Oregon School of Law
September 25: Willamette University College of Law
September 26: Lewis and Clark Law School

Each event will offer a panel of rural practitioners. The panel will share their experiences, joys, challenges, and more and respond to questions from law students and legal professional attendees. The panelists will include representatives from a variety of professions:

Judge: Judge Marci Adkisson, Klamath County Circuit Court, Moderator
District Attorney: Kara Davis, Gilliam County District Attorney

Public Defender: Kati Dunn, Canyon City, Public Defender
Bar President: Bruce Nishioka, Curry County Bar President
Private Practitioner: Susan Carter, Coos County practitioner
PLF/OAAP Representative: To Be Determined
Legal Aid Representative: To Be Determined
OSB Representative: To Be Determined

We are still finalizing the agenda, but we anticipate potential additional features beyond the panel presentation, including:

- **Tabling:** we will invite individuals and firms to table at the law schools. Immediately following the panel presentations, attendees will have the opportunity to network.
- **Keynote speaker:** we may invite a keynote speaker to one or more events.
- **CLE:** we may have a more extended CLE-type event at one of the locations.

- **Marketing**

In an upcoming President's message, OSB President David Rosen will include a call-out for rural practitioner participants at the Rural Jobs Traveling Road Show in the events. He will also communicate that attending this event is open to any Oregon lawyer interested in learning more about rural practice.

The OSB will create and disseminate an electronic marketing flyer to recruit participants and attendees for the event.

A hard copy of the flyer will be posted around each law school, encouraging students to attend. These flyers should include a list of the rural practitioner participants to communicate best what a great opportunity this is for the law students.

- **Continuing Legal Education**

This year, the ONLD's annual Summer CLE Sessions focused on rural/small-town practice, with programs on areas of the law specific to rural communities (agriculture, real estate) and more broadly applicable programs. That series consists of eight lunchtime weekly programs

- **Future Plans**

Depending on interest, the ONLD plans to continue the Road Show event every year. In addition, the ONLD is considering a hybrid Rural Summit, likely a half-day event with CLE credits and a keynote speaker, geared more specifically to current practitioners who might be interested in a rural/small-town practice. This could also include a networking/job fair opportunity. The ONLD recommends that the BOG consider partnering with the ONLD on this endeavor.

While the ONLD supports the idea of a virtual rural job fair, similar to the Public Interest Job Fair used by law schools in the Pacific Northwest and the rural job fair held by Gonzaga University School of Law, that type of task is beyond its purview. The ONLD would recommend encouraging the three Oregon Law Schools to work with Gonzaga to expand their virtual rural job fair into Oregon.

National Center for State Courts Legal Desert Conference

The Oregon Judicial Department invited the Oregon State Bar representatives and other stakeholders to attend the National Center for State Courts (NCSC) conference on legal deserts in Las Vegas in May 2024. The delegation included Judge Rob Raschio, Judge Kathleen Johnson, BOG President David Rosen, OSB CEO Helen Hierschbiel, OSB Chief Access to Justice Officer Keren Farkas, Legal Aid Services of Oregon Executive Director Jeremy Aliason, OJD Director, Civil and Criminal Programs Dana Walton-Macauley, OJD Data Analyst Stephanie Guerena, and OJD Senior Assistant General Counsel L Samuel Dupree.

The NCSC conference, "Legal Deserts: Bridging the Justice Gap in Rural America," addressed the issue of insufficient access to justice in rural areas. We engaged in discussions and learned about various strategies and innovative approaches neighboring states have taken to increase access and tackle this problem, often leveraging technology and partnerships.

Key solutions discussed at the conference included:

- **Legal Kiosks:** Implementing legal kiosks in community hubs such as courts, libraries, and community centers to provide accessible legal information and resources.
- **Financial Incentives:** Offering financial incentives, such as loan forgiveness, stipends, or judicial internships, to law students or practitioners who commit to practicing in rural areas.
- **Leveraging Justice Workers:** Utilizing paralegals and other justice workers to provide legal assistance and support in rural communities, thereby extending the reach of legal services.
- **Alternative Bar Admission:** Exploring alternative pathways to bar admission to make it easier for individuals, particularly those outside metro regions, to become lawyers.
- **Unbundled Legal Services:** Promoting limited scope representation to make legal services more affordable and accessible, particularly in underserved rural areas.
- **Partnering with Local Infrastructure:** Collaborating with local and trusted infrastructure to create community-based legal service hubs.

After the conference, the Oregon team convened to reflect on the key themes and highlights, such as the need for more legal professionals, the importance of community hubs for information and access, simplifying court forms and court record access, and better coordination between courts and legal aid.

Since attending the conference, the delegation has met to discuss possible next steps and pilot programs. The bar plans to incorporate what we learned from the conference and our ongoing discussions into the Access to Justice Strategic Planning and priority setting we will undertake early next year. This collaborative effort will help us develop and implement effective strategies to improve access to justice in Oregon's rural communities.

Summer Judicial Clerkships

We are exploring the development of judicial clerkship programs, specifically targeting rural communities. Judicial District 15 (Coos and Curry counties) seem best positioned to serve as a pilot for exploring the viability of such a program. The initiative aims to support law students, encourage them to consider careers in rural legal practice and bring additional resources to the regions.

Program Overview:

- **1L Judicial Clerkship**
 - **Stipend for 1L Judicial Clerkship:** A stipend for a first-year law student (1L) judicial clerkship in Coos/Curry County will be provided. The trial court administrator has drafted a proposed job description to be shared during the ONLD law school presentation at Willamette University.
 - **Housing Arrangements:** Affordable housing options have been identified at the local community college, ensuring the participating student has a comfortable and convenient living situation.
 - **Mentorship and Community Introduction:** Presiding Judge Stone has agreed to mentor the selected student and introduce them to the community, offering valuable insights and support throughout the clerkship.
- **Public Defender Clerkship:** Besides the judicial clerkship, the local public defender has expressed interest in hosting a second-year law student (2L) clerk. A job description for this position has also been provided. The intention is to create a collaborative environment by having two students engaged in summer clerkships within the same region, enhancing their overall experience.

Funding and Support:

- **Willamette University Contribution:** Willamette University has committed to funding \$4,000 of the stipend for the 1L clerkship.
- **Oregon State Bar Contribution:** OSB would need to fund the remaining \$4,000 for the 1L clerkship.
- **Public Defender Clerkship Funding:** We are seeking funding from the Oregon Public Defense Commission (OPDC) for the public defender clerkship.

This initiative offers valuable experience for law students and aims to foster interest in rural legal practice. If successful, it could provide a template for expansion into other areas.

OREGON STATE BAR

Policy and Governance Agenda

Meeting Date: July 26, 2024
From: Cathy Petrecca, Member Services Manager
Re: Bylaw and Policy Changes regarding Awards

Action Recommended

Recommend the Board adopt the following changes within Exhibit 1 to the OSB Awards Bylaws and Policies amending the type and number of awards given, providing additional language on eligible members, and noting that employees of the Bar are not eligible for OSB Awards.

Background

The OSB Award of Merit was first given in 1951 and has been awarded most years since then. The other OSB Awards were created more recently:

- 1988: The President's Membership Service Award
- 1988: The President's Public Service Awards
- 1991: The President's Diversity & Inclusion Award
- 1999: The President's Special Award of Appreciation
- 2006: The Wallace P. Carson Award for Judicial Excellence
- 2008: The President's Public Leadership Award (Awarded to a non-attorney)
- 2010: The President's Sustainability Award
- 2018: The President's Technology and Innovation Award

It should be noted that the Bench Bar Commission on Professionalism has awarded the Edwin J. Peterson Award of Professionalism since 2005.

The list of previous award winners [can be found here](#).

The Awards are listed by name in the OSB Bylaws, Article 4, with criteria for each award laid out in Chapter Four of the Policies, attached hereto. All of the OSB Awards are the result of nominations with the approval of the Board of Governors. The exception is the President's Special Award of Appreciation, which is at the discretion of the OSB President.

During conversations among the members of the BOG's 2024 Ad Hoc Awards Committee, it became clear that a few of the award descriptions needed to allow additional membership status for more latitude in making the awards.

In addition, the last two awards (Sustainability and Technology and Innovation) have had very few nominees over the few years they've been in existence.

Options

1. Recommend that the Board adopt the bylaw and policy amendments proposed in Exhibit 1, with authority for staff to revise enumeration if needed.
2. Recommend only a portion of the amendments proposed in Exhibit 1 with authority for staff to revise enumeration if needed.
3. Amend the amendments proposed in Exhibit 1 and recommend the Board adopt those revised amendments with authority for staff to revise enumeration if needed.
4. Refer back to staff for additional options.

Discussion

A. Review of Awards

During the 2024 Awards Committee meetings, Board members expressed questions about the continuation of some awards that received very few nominations each year. Efforts to increase nominations to those awards by staff have not been fruitful.

For instance, the Sustainability Award typically has just one nominee each year, and the Technology and Innovation typically has two nominees each year. It may serve the interests of the membership more to have one award that encompasses a broader range of contributions.

One option that staff recommends is combining the President's Sustainability Award and the President's Technology and Innovation Award into the President's Innovation Award. This award would allow the nomination of a member who has made a significant contribution to one of the values of the Oregon State Bar. The criteria would be:

The criteria for the President's Innovation Award are as follows: The nominee must be a member of the bar, an Oregon law firm, or an Oregon entity; the nominee must have made a significant innovative contribution in Oregon that advances the bar's mission and values, including, but not limited to, promoting access to justice, sustainability, or well-being in the legal profession.

B. Change to Include Inactive Members

Currently, some of the OSB Policies regarding awards require nominees to be active members of the Oregon State Bar and some include inactive members of the bar. Consistency across the awards would be helpful to the Ad Hoc Nominating Committee, and would allow for individuals who may be temporarily inactive, or recently inactive due to health concerns or other issues to be expressly eligible for receiving awards. A new policy indicates that members eligible for awards may be eligible if they are active or inactive.

C. Change to Remove OSB Employees as Nominees

Longstanding OSB practice has precluded OSB employees from receiving any OSB Awards. While many employees of the OSB are also members of the bar, including them as potential nominees for OSB Awards creates the appearance of impropriety surrounding the awards. Expressly excluding current OSB staff from receiving any awards would be consistent with current OSB practice and would provide clarity to individuals and organizations making nominations.

Staff recommends the following changes to the Bylaws and Policies, as attached as Exhibit 1. Staff also recommends providing staff with authority to revise enumeration if necessary due to additional bylaw and policy changes on the Board's agenda.

Exhibit 1 – Redline of Bylaw and Policy Changes

Exhibit 1

Bylaw and Policy Changes Regarding Awards

Article 4 Awards

Each year, the Board shall consider nominations for the President's Membership Service Award, the President's Public Service Awards, the President's Diversity & Inclusion Award, the President's Special Award of Appreciation, the Award of Merit, the Wallace P. Carson, Jr. Award for Judicial Excellence, the President's Public Leadership Award, ~~the President's Sustainability Award,~~ and the President's ~~Technology &~~ Innovation Award. The Board may select award recipients from among the nominations received from local bars, committees, sections, individual members, affiliated groups and bar groups.

Chapter 4 Awards

Policy 4.100 Awards Eligibility

(a) Unless otherwise stated within the awards criteria, members of the bar with their licensure status as active (including active pro bono) or inactive (including retired) are eligible for awards. Members are ineligible for awards if their licensure status is suspended for any reason between the time of nomination and the time of issuance of the award.

(b) No current employee of the Oregon State Bar is eligible for any of the awards.

Policy 4.100~~1~~ Award Criteria

(a) The criteria for the President's Membership Service Award is as follows: The nominee must be an ~~active or inactive~~ member of the Bar; the nominee must have made a significant contribution to other lawyers through efforts involving Continuing Legal Education programs or publications, committees, sections, boards or the Bar's legislative/public affairs process or similar activities through local bar associations or other law-related groups.

(b) The criteria for the President's Public Service Awards is as follows: The nominee must be an ~~active or inactive~~ member of the Oregon State Bar; the nominee must have made a significant contribution to the public through efforts involving pro bono services; coordination of local public service law-related events, such as those associated with Law Day; service with community boards or organizations or similar activities that benefit the public. 17

Exhibit 1

Bylaw and Policy Changes Regarding Awards

(c) The criteria for the President's Diversity & Inclusion Award is as follows: The nominee must be an ~~an active m~~ member of the Bar or be an Oregon law firm; the nominee must have made a significant contribution to the goal of increasing diversity and inclusion in the legal profession in Oregon through progressive employment efforts, innovative recruitment and retention programs, advocacy or other significant efforts.

(d) The President's Special Award of Appreciation is a discretionary award of the President of the Bar, with the concurrence of the Board, to be presented to a person who has made recent outstanding contributions to the bar, the bench and/or the community. The award will be made in conjunction with the OSB Awards Dinner or House of Delegates events within the following guidelines. In any given year, there may be no award, one award or more than one award. The recipient may be a lawyer or a non-lawyer. The President will present ~~his or her~~ their proposed award recipient to the Board at the same time the Board considers the Bar's other awards.

(e) The Award of Merit is the highest honor that the Bar can bestow. The recipient may be (1) an Oregon lawyer who has made outstanding contributions to the bench, the bar and the community-at-large, and who exhibits the highest standards of professionalism or (2) a non-lawyer who has made outstanding contributions to the bar and/or bench, and who exhibits the highest standards of service to the community-at-large. The award does not have to be granted every year and only one award may be bestowed in any year.

(f) The Wallace P. Carson, Jr. Award for Judicial Excellence honors a member of the state's judiciary. The criteria for the award are as follows: 1) a current or retired state court judge or federal judge; 2) who has made significant contributions to the judicial system; and 3) who is a model of professionalism, integrity, and judicial independence.

(g) The criteria for the President's Public Leadership Award are as follows: The nominee must not be an active or inactive member of the Oregon State Bar and the nominee must have made significant contributions in any of the areas described in the President's Awards.

~~(h) The criteria for the President's Sustainability Award are as follows: The nominee must be an active or inactive member of the bar or be an Oregon law firm; the nominee must have made a significant contribution to the goal of sustainability in the legal profession in Oregon through education, advocacy, and leadership in adopting sustainable business practices or other significant efforts.~~

~~(i) The criteria for the President's Technology & Innovation Award are as follows: The nominee may be an member of the bar, an individual or Oregon law firm, or entity Oregon~~

Exhibit 1

Bylaw and Policy Changes Regarding Awards

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~~entity; and,~~ the nominee must have made a significant innovative contribution in Oregon that advances toward the bar's mission and values, including, but not limited to, promoting ~~respect for the rule of law, improving the quality of legal services or increasing~~ access to justice, sustainability, or well-being in the legal profession. ~~through new technology or other innovations~~

OREGON STATE BAR

Policy and Governance Agenda

Meeting Date: July 26, 2024
From: Ankur Doshi, General Counsel
Re: Bar Rule of Procedure Changes

Action Recommended

Submit the proposed changes conforming the Bar Rules of Procedure (BR) with the Bar Rules of Licensure (RL) as noted in Exhibit 1 for public comment.

Background

The Supreme Court adopted the Bar Rules of Licensure (RL), earlier this year, which are set to be enacted in January 1, 2025. Currently, a number of provisions within the BRs would conflict with the RLs when enacted. The proposed changes would remove those provisions, and also clarify the language within the BRs.

Options

1. Recommend the proposed changes to the BRs within Exhibit 1 be posted for public comment.
2. Decline to recommend the changes be posted for public comment, and submit back to staff for review.

Discussion

In 2025, the Bar will move reinstatements that are not disciplinary in nature from the Bar Rules of Procedure to the Rules of Licensure (RL). This move included “informal reinstatements” under BR 8.2, which will be known as streamlined reinstatements under RL 11.5, and “financial, noncompliance with MCLE, or trust account compliance reinstatements” under BR 8.4, which will be known as administrative reinstatement under RL 11.4. With the enactment of the Rules of Licensures, the current provisions in the Bar Rules of Procedure will be academic, and require removal from the BRs.

Staff recommends the removal of these academic sections. Additionally, staff reviewed the BRs for additional non-substantive changes, which are noted within the redline. These changes do not include the recommended changes to BR 8.1, which were presented separately in June as it involved substantive matters with the Board. These changes are primarily for clarification within the Rule.

Two additional changes are recommended by the Adjudicator in relation to motion practice. The first is to allow a motion to require a party to conform pleadings to the required form in the Bar Rules. The adjudicator noted that with the abolishment of the motion to make more definite and

certain in the rules, there was no mechanism to make parties comply with the pleading requirements of BR 4.1 or 4.3. The motion to require amending a pleading to conform to the Bar Rules would resolve this issue. Such a motion has been added within BR 4.4(c).

Second, the adjudicator noted that the phrase “without leave of the adjudicator” from BR 4.4(c)(2) should be removed. BR 4.4(c)(2) prohibits dispositive motions in adjudicatory settings, such as a motion to dismiss or a motion for summary judgment. As these motions are pretrial motions, the adjudicator noted that he did not have the authority to review facts or law on a matter and dismiss a matter alone; only the full trial panel has such authority (*see* BR 2.4(i)(2)). Therefore, he noted it would always be improper to allow for a pretrial motion to dismiss, and such wording should be removed.

After public comment, these changes will be presented again to this Committee and to the Board in either September or November. If approved by the Board, the Bar would submit them to the court with a recommendation that these changes be effective January 1, 2025, along with the Rules of Licensure. These changes will be integrated with the change to the enumeration of the Bar Rules of Procedure set to occur in 2025. Staff has not presented the enumeration changes with these amendments to avoid confusion about the location of the changes.

Bar Rule	Changes
1.1	<ul style="list-style-type: none"> • Correction in 1.1(a) to a reference to BR 2.4. • Addition of new definition (1.0(aa)) for Rules of Licensure.
1.11	Revised to reference email address required under RL 2.4(4).
2.4	Multiple references to incorrect citations to BR 2.4 have been fixed.
3.1	BR 3.1(h) had a reference to BR 8.2. That reference has been changed to RL 11.5.
3.4	BR 3.4(g) had a reference to BR 8.2. That reference has been changed to RL 11.5.
3.5	Reference to BR 2.4 corrected.
4.4	<ul style="list-style-type: none"> • BR 4.4(c)(2) is changed to remove “without leave of the adjudicator” regarding motions to dismiss. The adjudicator indicated that they do not have authority to decide such a motion to dismiss absent the entire trial panel. • Revised BR 4.4(c)(7) to include motion to require amending pleadings in conformance of BR 13.1 and 13.3. Current BR 4.4 (c)(7-9) renumbered accordingly.
4.6	Reference to BR 2.4 corrected.
5.4	Change reference to BR 2.4(e)(8) to BR 2.4(f)(8).

5.8	Change reference to BR 2.4(e)(8) to BR 2.4(f)(8).
6.2	Reference to BR 2.4 corrected. Additional clarification on the application to challenge process to appointment of Board in 6.2 matters.
6.4	Corrected typographical error (“no” was added to the last sentence).
8.1	Changes to 8.1 that were previously placed before this Committee have not been included in this redline.
8.2	Rule was deleted, as RL 11.5(streamlined reinstatement) will be the informal reinstatement process.
8.4	Rule was deleted, as RL 11.4 (administrative reinstatement) will be the process for reinstatement for noncompliance with MCLE/ Trust Account Certification.
8.5	Minor wording changes to clarify that applicant completes ethics school as required under BR 6.4.
8.6	Removal of references to BR 8.2 (note that a similar provision exists under RL Title 11 for RL reinstatements).
8.7	<ul style="list-style-type: none"> • Subsection (a) been bifurcated to subsections (a) and (b). • References to BR 8.2 have been removed. • Conditional reinstatement has been revised to clarify the language, remove references to BR 8.2, and to reflect practice. • Temporary reinstatements provision has been bifurcated and clarified.
8.8	<ul style="list-style-type: none"> • New subsection (a) establishes when the Rule is applicable. • Subsection (c) adds the standard of review, and also provides a list of options for the court to consider. • References to the Board have been removed.
10.2	Deletion to reference of BR 2.4 as superfluous.

Exhibit 1 – Redline changes to the Bar Rules of Procedure

Exhibit 2 – Clean changes to the Bar Rules of Procedure

Rules of Procedure

(As approved by the Supreme Court by order dated February 9, 1984 and as amended by Supreme Court orders dated April 18, 1984; May 31, 1984; July 16, 1984; July 27, 1984; November 1, 1984; June 25, 1985; July 8, 1985; July 22, 1985; November 29, 198; January 2, 1986; January 24, 1986; March 20, 1986; September 10, 1986; June 30, 1987; September 24, 1987; October 1, 1987; November 10, 1987; November 24, 1987; December 10, 1987; January 5, 1988; February 22, 1988; February 23, 1988; July 8, 1988; March 13, 1989; March 31, 1989; June 1, 1989; March 20, 1990; October 1, 1990; January 10, 1991; April 4, 1991; July 22, 1991; August 2, 1991; January 17, 1992; December 22, 1992; June 29, 1993; December 13, 1993; December 28, 1993; October 10, 1994; May 15, 1995; November 6, 1995; December 14, 1995; September 30, 1996; June 5, 1997; August 19, 1997, effective October 4, 1997; October 3, 1997; July 10, 1998; November 30, 1999; February 5, 2001; June 28, 2001; September 6, 2001; June 17, 2003, effective July 1, 2003; July 9, 2003, effective August 1, 2003; June 17, 2003, effective, January 1, 2004; December 8, 2003, effective January 1, 2004; December 9, 2004, effective January 1, 2005; January 21, 2005; April 26, 2007; August 29, 2007; January 17, 2008; March 20, 2008; October 19, 2009; January 1, 2011; December 10, 2010, effective June 1, 2011; July 21, 2011; June 6, 2012; April 5, 2013; August 13, 2013, effective November 1, 2013); August 10, 2015; May 3, 2017, effective January 1, 2018; May 22, 2019, effective September 1, 2019; October 27, 2019, effective December 1, 2019; January 9, 2020, effective January 15, 2020; October 15, 2020, effective November 14, 2020; December 8, 2020; January 26, 2021; November 22, 2021; August 17, 2022, effective July 1, 2023; October 31, 2022, effective November 1, 2022; December 14, 2022, effective January 1, 2023; August 1, 2023; and December 26, 2023, effective January 1, 2024.)

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Title 1 — General Provisions

Rule 1.1 Definitions.

In these rules, unless the context or subject matter requires otherwise:

- (a) “Adjudicator” means the Disciplinary Board statewide adjudicator, one or more of whom is appointed by the Supreme Court to chair all trial panels and any attorney appointed to serve in the Adjudicator’s role in a particular proceeding pursuant to BR 2.4(f)(14) or BR 2.4(g)(2).
- (b) “Applicant” means an applicant for reinstatement to the practice of law in Oregon.
- (c) “Attorney” means a person who has been admitted to the practice of law in Oregon.
- (d) “Bar” means Oregon State Bar created by the Bar Act.
- (e) “Bar Act” means ORS Chapter 9.
- (f) “Bar Counsel” means counsel appointed by Disciplinary Counsel to represent the Bar.
- (g) “BBX” means Board of Bar Examiners appointed by the Supreme Court.
- (h) “Board” means Board of Governors of the Bar.
- (i) “Chief Executive Officer” means the chief administrative employee of the Bar.
- (j) “Intake Office” means a department designated by the Bar separate from Disciplinary Counsel that reviews and responds to inquiries from the public about the conduct of attorneys and LPs.
- (k) “Complainant” means a person who question or raises concerns about the conduct of an attorney or LP through the Intake Office.
- (l) “Contested Admission” means a proceeding in which the BBX is objecting to the admission of an applicant to the practice of law after a character review proceeding.
- (m) “Contested Reinstatement” means a proceeding in which the Bar is objecting to the reinstatement of an attorney or a former attorney or LP or former LP to the practice of law.
- (n) “Disciplinary Board” means the board appointed by the Supreme Court to hear and decide disciplinary and contested reinstatement proceedings pursuant to these rules.
- (o) “Disciplinary Board Clerk” means the person or persons designated in General Counsel’s Office of the Bar to receive and maintain records of disciplinary and reinstatement proceedings on behalf of the Disciplinary Board.
- (p) “Disciplinary Counsel” means disciplinary counsel retained or employed by, and in the office of, the Bar and shall include such assistants as are from time to time employed by the Bar to assist disciplinary counsel.
- (q) “Disciplinary proceeding” means a proceeding in which the Bar is charging an attorney or LP with misconduct in a formal complaint.
- (r) “Examiner” means a member of the BBX.
- (s) “Formal complaint” means the document that initiates a formal lawyer or LP discipline proceeding alleging misconduct and violations of disciplinary rules or statutory provisions.
- (t) “General Counsel” means the General Counsel of the Bar or their designee.
- (u) “Grievance” means an instance of alleged misconduct by an attorney or LP that may be

investigated by the Intake office or Disciplinary Counsel.

(v) “Inquiry” means a communication received by the Intake Office pertaining to an attorney or LP that may or may not allege professional misconduct.

(w) “Licensed Paralegal” or “LP” means a person who has been admitted to practice in Oregon under a Licensed Paralegal license.

(x) “Misconduct” means any conduct which may or does subject an attorney or LP to discipline under the Bar Act or the rules of professional conduct adopted by the Supreme Court.

(y) “Regulatory Counsel” means regulatory counsel retained or employed by, and in the office of, the Bar and shall include such assistants as are from time to time employed by the Bar to assist regulatory counsel.

(z) “Respondent” means an attorney or LP who is charged with misconduct by the Bar in a formal complaint or who is the subject of proceedings initiated pursuant to BR 3.1, BR 3.2, BR 3.3, BR 3.4, or BR 3.5.

(aa) “Rule of Licensure” or “RL” means the corresponding Rules of Licensure enacted by the Oregon Supreme Court applicable to all members of the Bar.

(bb) “Rule of Professional Conduct” means the corresponding Rules of Professional Conduct for attorneys, or the Rules of Professional Conduct for Licensed Paralegals for LPs.

(cc) “State Court Administrator” means the person who holds the office created pursuant to ORS 8.110.

(cc) “Supreme Court” and “court” mean the Oregon Supreme Court.

(dd) “SPRB” means the State Professional Responsibility Board appointed by the Supreme Court.

(ee) “Trial Panel” means a three-member panel of the Disciplinary Board.

(ff) “Unlawful Practice of Law Committee” means the committee appointed by the Supreme Court to carry out the committee’s functions on behalf of the Bar pursuant to ORS 9.164.

(Rule 1.1 amended by Order dated November 10, 1987.)

(Rule 1.1(c) amended by Order dated February 23, 1988.)

(Rule 1.1(i) and (k) amended by Order dated July 22, 1991.)

(Rule 1.1(l) through (w) amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 1.1(b) and (i) amended by Order dated October 19, 2009.)

(Former Rule 1.1(a), (p), and l deleted; former Rule 1.1(i), (j), (k), (l), (m), (n), (o), (q), (s), (t), (u), (v), and (w) redesignated as Rule 1.1(l), (m), (n), (o), (p), (q), (r), (s), (w), (y), (z), (aa), and (bb); Rule 1.1(q), (s), (z), and (aa) amended; Rule 1.1(a), (i), (j), (k), (x), and (cc) added by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 1.1(a) amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 1.1(x) added and Rule 1.1 (x), (y), (z), (aa), (bb), and (cc) redesignated as Rule 1.1(y), (z), (aa), (bb), (cc), and (dd) by Order dated December 8, 2020.)

(Rule 1.1(j), (k), (m), (q), (s), and former Rules 1.1 (w) and (y) amended; Rule 1.1(2) added; former Rules 1.1 (w) through (dd) redesignated to Rule 1.1 (x) through (ee) by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 1.1(ff), (j), (k), (t), (u), (v), and (aa) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 1.2 Authority.

These “Rules of Procedure” are adopted by the Board and approved by the Supreme Court pursuant to ORS 9.005(8) and ORS 9.542, and govern exclusively the proceedings contemplated in these rules except to the extent that specific reference is made herein to other rules or statutes. These rules may be amended or repealed and new rules may be adopted by the Board at any regular meeting or at any special meeting called

for that purpose. No amendment, repeal or new rule shall become effective until approved by the Supreme Court.

(Rule 1.2 amended by Order dated June 5, 1997, effective July 1, 1997.)

(Rule 1.2 amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 1.3 Nature of Proceedings.

Disciplinary and contested reinstatement proceedings are neither civil nor criminal in nature but are sui generis, and are designed as the means to determine whether an attorney or LP should be disciplined for misconduct, or whether an applicant's conduct should preclude the applicant from being reinstated to membership in the Bar.

(Rule 1.3 amended by Order dated October 19, 2009.)

(Rule 1.3 amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 1.3 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 1.4 Jurisdiction; Choice of Law.

(a) Jurisdiction after Adoption of Rules of Professional Conduct. Conduct occurring on or after January 1, 2005, by an attorney or LP is governed by Rule of Professional Conduct 8.5.

(b) Jurisdiction. For conduct occurring on or before December 31, 2004, an attorney admitted to the practice of law in Oregon, and any attorney specially admitted by a court or agency in Oregon for a particular case, is subject to the Bar Act and these rules, regardless of where the attorney's conduct occurs. The Supreme Court's jurisdiction over matters involving the practice of law by an attorney shall continue whether or not the attorney or LP retains the authority to practice law in Oregon, and regardless of the residence of the attorney or LP. An attorney may be subject to the disciplinary authority of both Oregon and another jurisdiction in which the attorney is admitted for the same conduct.

(c) Choice of Law. In any exercise of the disciplinary authority of Oregon involving conduct occurring on or before December 31, 2004, the rules of professional conduct to be applied shall be as follows:

(1) For conduct in connection with a proceeding in a court before which an attorney or LP has been admitted to practice, either generally or for purposes of that proceeding, the rules to be applied shall be the rules of the jurisdiction in which the court sits, unless the rules of the court provide otherwise; and

(2) For any other conduct,

(A) If the attorney is licensed to practice only in Oregon, the rules to be applied shall be the Oregon Code of Professional Responsibility and the Bar Act; and

(B) If the attorney is licensed to practice in Oregon and another jurisdiction, the rules to be applied shall be the rules of the jurisdiction in which the attorney principally practices; provided, however, that if particular conduct clearly has its predominant effect in another jurisdiction in which the attorney is licensed to practice, the rules of that jurisdiction shall be applied to that conduct.

(Rule 1.4 amended by Order dated September 30, 1996.)

(Rule 1.4(c) added by Order dated April 26, 2007.)

(Rule 1.4(c) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 1.4(a) through (c) amended by Order dated August 17, 2022, effective July 1, 2023.)

Rules 1.4(c) moved and amended to new section (a); former provisions (a) and (b) amended and redesignated as (b) and (c) by Order dated December 26, 2023, effective January 1, 2024.)

Rule 1.5 Effective Date.

(a) These rules apply to all disciplinary and contested reinstatement proceedings initiated by the service of a
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formal complaint or statement of objections on a respondent or an applicant on or after January 1, 1984.

(b) The provisions of BR 1.5(a) apply except to the extent that in the opinion of the Supreme Court their application in a particular matter or proceeding would not be feasible or would work an injustice. In that event, the former or current rule most consistent with the fair and expeditious resolution of the matter or proceeding under consideration shall be applied.

(Rule 1.5(a) amended by Order dated July 22, 1991.)

(Rule 1.5(a) amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 1.5(a) and (b) amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 1.6 Citation of Rules.

These Rules of Procedure may be referred to as Bar Rules and cited, for example, as BR 1.1(a).

(Rule 1.6 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 1.7 Bar Records.

(a) Property of Bar. The records of the Bar and of its officers, governors, employees and committees, in contested admission, disciplinary and reinstatement proceedings are the property of the Bar.

(b) Public Records Status. Except as exempt or protected by law from disclosure, the records of the Bar relating to contested admission, disciplinary, and reinstatement proceedings are available for public inspection.

Rule 1.8 Service Methods.

(a) Except as provided in Rule 4.2 and Rule 8.9, any pleading or document required under these rules to be served on a respondent, applicant, attorney, or LP shall be

(1) Sent to the respondent, applicant, attorney, or LP, or their attorney if the respondent, applicant, attorney, or LP is represented, by first class mail addressed to the intended recipient at the recipient's last designated business or residence address on file with the Bar, or

(2) Sent to the respondent, applicant, attorney, or LP or their attorney if the respondent, applicant, or attorney is represented, by email addressed to the intended recipient at the recipient's last designated email address on file with the Bar.

(b) Any pleading or document required under these rules to be served on the Bar shall be sent by first class mail addressed to Disciplinary Counsel at the Bar's business address or served by personal or office service as provided in ORCP 7 D(2)(a)-(c) or sent by email addressed to the intended recipient at the recipient's last designated email address on file with the Bar.

(c) A copy of any pleading or document served on Bar Disciplinary Counsel shall also be provided to Bar Counsel, if one has been appointed, by first class mail addressed to their last designated business address on file with the Bar or by personal or office service as provided in ORCP 7 D(2)(a)-(c) or sent by email addressed to the intended recipient at the recipient's last designated email address on file with the Bar.

(d) Service by mail shall be complete on deposit in the mail except as provided in BR 1.12.

(e) The parties may by mutual agreement serve any document other than the formal complaint and answer by email delivery to the email address identified in the Bar's membership records for the respondent, applicant, or attorney or LP, or their attorney if represented.

(Rule 1.8 amended by Order dated June 30, 1987.)

(Rule 1.8(a) amended by Order dated February 23, 1988.)

(Rule 1.8(a), (b) and (c) amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 1.8(d) amended by Order dated April 26, 2007.)

(Rule 1.8(a) amended by Order dated August 12, 2013, effective November 1, 2013.)

(Rule 1.8(a), (b), (c) amended; Rule 1.8(e) added by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 1.8(a)(1), (a)(2), (b), and (c) amended by Order dated November 22, 2021.)

(Rule 1.8(a) and (e) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 1.8(a), (c), (e) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 1.9 Time.

In computing any period of time prescribed or allowed by these rules, the day of the act, event or default from which the designated period of time begins to run shall not be included. The last day of the period so computed shall be included unless it is a Saturday or a legal holiday, in which event the period runs until the end of the next day that is not a Saturday or legal holiday. As used in this rule, "legal holiday" means legal holiday as defined in ORS 187.010 (which includes each Sunday) and ORS 187.020.

(Rule 1.9 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 1.9 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 1.10 Filing.

(a) Any pleading or document to be filed with the Disciplinary Board Clerk shall be delivered in person to the Disciplinary Board Clerk, Oregon State Bar, 16037 S.W. Upper Boones Ferry Road, Tigard, Oregon 97224, or by mail to the Disciplinary Board Clerk, Oregon State Bar, P. O. Box 231935, Tigard, Oregon 97281-1935 or by email to dbclerk@osbar.org. Any pleading or document to be filed with the Supreme Court shall be delivered to the State Court Administrator, Appellate Courts Records Section, 1163 State Street, Salem, Oregon 97301-2563, consistently with the requirements of the Oregon Rules of Appellate Procedure, including Chapter 16 (filing and service by electronic means). Any pleading or document to be filed with the Adjudicator or a regional chair shall be delivered to the intended recipient at their last designated business or residence address on file with the Bar, or by email address on file with the Bar.

(b) Filing by mail is complete on deposit in the mail in the following circumstances: All pleadings or documents, including requests for review, required to be filed within a prescribed time, if mailed on or before the due date by first class mail through the United States Postal Service.

(c) If filing is not done as provided in subsection (b) of this rule, the filing is not timely unless the pleading or document is actually received by the intended recipient within the time fixed for filing.

(d) A copy of any pleading or document filed under these Rules must also be served by the party or attorney delivering it on other parties to the case by first class mail through the United States Postal Service or by email to the address on file with the Bar. All service copies must include a certificate showing the date of filing. "Parties" for the purposes of this rule shall be the respondent or applicant, or their attorney if represented; Disciplinary Counsel; and Bar Counsel, if any.

(e) Proof of service shall appear on or be affixed to any pleading or document filed. Such proof shall be either an acknowledgement of service by the person served or be in the form of a statement of the date of personal delivery or deposit in the mail or email and the names and addresses of the persons served, certified by the person who has made service.

(Rule 1.10 amended by Order dated June 30, 1987.)

(Rule 1.10(d) amended by Order dated February 23, 1988.)

(Rule 1.10(d) amended by Order dated February 5, 2001.)

(Rule 1.10(a), (b), (d) and (e) amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 1.10(a) amended by Order dated April 26, 2007.)

(Rule 1.10(a) amended by Order dated March 20, 2008.)

(Rule 1.10(f) added by Order dated October 19, 2009.)

(Rule 1.10(a), (b), (c), (d) amended; Rule 1.10(f) deleted by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 1.10(a), (d), and (e) amended by Order dated November 22, 2021.)

(Rule 1.10(a) and (d) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 1.11 Service by Email.

Service on attorneys and LPs may be effectuated by emailing documents or pleadings to the email address an attorney or LP has on file with the Bar pursuant to RL 2.4(4), unless the attorney or LP has obtained an exemption from the CEO allowing the member not to have an email address on file with the Bar.

(Rule 1.11 amended by Order dated April 18, 1984, effective June 1, 1984. Amended by Order dated June 30, 1987.)

(Rule 1.11(a) and (b) amended by Order dated August 23, 2010, effective January 1, 2011.)

(Rule 1.11(a) amended, (b) and (c) added and former (b) now (d) redesignated by Order dated July 21, 2011.)

(Rule 1.11(a), (b), (c), and (d) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 1.11(a) amended by Order dated January 26, 2021.)

(Rule 1.11 amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 1.11 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 1.12 Service of Bar Pleadings or Documents on Out-of-State Attorney or LP.

(a) If an attorney or LP has designated to the Bar an address that is not located within the State of Oregon, a formal complaint filed under BR 4.1 or a statement of objections filed under BR 8.9 may be:

- (1) personally served upon the attorney or LP; or
- (2) served on the attorney or LP by certified mail, return receipt requested, to the attorney's or LP's last designated address on file with the Bar, in which case service shall be complete on the date on which the attorney or LP signs a receipt for the mailing.

(b) If service under either BR 1.12(a)(1) or BR 1.12(a)(2) is attempted but cannot be completed, a formal complaint or a statement of objections may be served on the attorney or LP by first class mail to the attorney's or LP's last designated address on file with the Bar, in which case service shall be complete seven days after such mailing. Proof of such service by mail shall be by certificate showing the date of deposit in the mail.

(c) Service of all other pleadings or documents on an attorney or LP who has designated an address that is not located within the State of Oregon shall comply with BR 1.8(a).

(Rule 1.12 amended by Order dated April 18, 1984, effective June 1, 1984. Amended by Order dated June 30, 1987.)

(Rule 1.12 amended by Order dated April 26, 2007.)

(Rule 1.12(a) and (c) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 1.12 amended by Order dated August 17, 2022, effective July 1, 2023.)

Rule 1.12 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 1.13 Electronic Signature and Submission.

(a) For purposes of this rule, "Form" means only a form made available by the Bar on its website for electronic submission to the Bar through the Bar's website and "filer" means the attorney using the Form and self-identified in the completed Form.

As to any Form obtainable or accessible only by means of a login, the use of a filer's login constitutes the signature of the filer for purposes of these rules and for any other purpose for which a signature is required. In lieu of a signature, the document shall include an electronic symbol intended to substitute for the signature, such as a scan of the filer's handwritten signature or a signature block that includes the typed name of the filer preceded by an "s" in the space where the signature would otherwise appear. Example of a signature block with "s/":

s/ Jane Q. Attorney or LP
 JANE Q. ATTORNEY or LP
 OSB # _____
 Email address _____

(b) When a Form requires a signature under penalty of perjury, in addition to signing and submitting the Form electronically, the filer shall sign a printed version of the Form and retain the signed Form in its original paper form for no less 30 days.

(c) An attorney or LP may submit a Form through the Bar’s website at any time, except when the Bar’s electronic filing system is temporarily unavailable.

(d) Filing a Form pursuant to this rule shall be deemed complete at the time of electronic submission.

(Rule 1.13 added by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 1.13(b) and (d) amended by Order dated August 17, 2022, effective July 1, 2023.)

Rule 1.14 Declarations May Replace Affidavits.

With the exception of the requirement contained in BR 13.7, Form B Resignation, all Bar Rules of Procedure that require documents or pleadings be supported by a notarized affidavit are amended to allow parties, as an alternative to notarization, to support the documents or pleadings with a declaration that includes the following language:

“I HEREBY DECLARE THAT THE ABOVE STATEMENT IS TRUE TO THE BEST OF MY KNOWLEDGE AND BELIEF, AND I UNDERSTAND IT IS MADE FOR USE AS EVIDENCE IN COURT AND IS SUBJECT TO PENALTY FOR PERJURY.”

(Rule 1.14 added by Order dated November 22, 2021.)

Title 2 — Structure And Duties

Rule 2.1 Qualifications of Counsel.

(a) Definition of Respondent. Notwithstanding BR 1.1(a), for the purposes of this rule, “respondent” means an attorney or LP who is the subject of an allegation of misconduct that is under investigation by the Bar, or who has been charged with misconduct by the Bar in a formal complaint.

(b) Bar Counsel. Any attorney admitted to practice law at least three years in Oregon may serve as Bar Counsel unless the attorney:

- (1) currently represents any respondent or applicant;
- (2) is a current member of the Disciplinary Board or has a firm member currently serving on the Disciplinary Board;
- (3) served as a member of the Disciplinary Board at a time when the formal complaint against the respondent was filed.

(c) Counsel for Respondent. Any attorney admitted to practice law in Oregon may represent a respondent unless the attorney:

- (1) is a current member of the Board or the SPRB;
- (2) served as a member of the Board or the SPRB at a time when the allegations about which the respondent seeks representation were under investigation by the Bar or were authorized to be charged in a formal complaint;
- (3) currently is serving as Bar Counsel;
- (4) is a current member of the Disciplinary Board or has a firm member currently serving on the Disciplinary Board;

(5) served as a member of the Disciplinary Board at a time when the formal complaint against the respondent was filed.

(d) Counsel for Applicant. Any attorney admitted to practice law in Oregon may represent an applicant unless the attorney:

(1) is a current member of the Board, the BBX, or the SPRB;

(2) served as a member of the Board, the BBX, or the SPRB at a time when the investigation of the reinstatement application was conducted by the Bar;

(3) currently is serving as Bar Counsel;

(4) is a current member of the Disciplinary Board or has a firm member currently serving on the Disciplinary Board;

(5) served as a member of the Disciplinary Board at a time when the statement of objections against the applicant was filed.

(e) Vicarious Disqualification. The disqualifications contained in BR 2.1(b), (c), and (d) also apply to firm members of the disqualified attorney's firm.

(f) Exceptions to Vicarious Disqualification.

(1) Notwithstanding BR 2.1(b), (c), and (d), an attorney may serve as Bar Counsel or represent a respondent or applicant even though a firm member is currently serving on the Disciplinary Board, provided the firm member recuses himself or herself from participation as a trial panel member or regional chairperson in any matter in which a member of the firm is Bar Counsel or counsel for a respondent or applicant.

(2) Subject to the provisions of RPC 1.7, and notwithstanding the provisions of BR 2.1(b), (c), and (d), an attorney may serve as Bar Counsel or represent a respondent or applicant even though a firm member is currently serving as Bar Counsel or representing a respondent or applicant, provided firm members are not opposing counsel in the same proceeding.

(3) Notwithstanding BR 2.1(b), (c), and (d), an attorney in a Board member's firm may represent a respondent provided the Board member is screened from any form of participation or representation in the matter. To ensure such screening:

(A) The Board member shall prepare and file an affidavit with the Chief Executive Officer attesting that, during the period their firm is representing a respondent, the Board member will not participate in any manner in the matter or the representation and will not discuss the matter or representation with any other firm member;

(B) The Board member's firm shall also prepare and file an affidavit with the Chief Executive Officer attesting that all firm members are aware of the requirement that the Board member be screened from participation in or discussion of the matter or representation;

(C) The Board member and firm shall also prepare, at the request of the Chief Executive Officer, a compliance affidavit describing the Board member's and the firm's actual compliance with these undertakings;

(D) The affidavits required under subsections (A) and (B) of this rule shall be filed with the Chief Executive Officer no later than fourteen (14) days following the acceptance by a Board member's firm of a respondent as a client, or the date the Board member becomes a member of the Board.

(g) Investigators. Disciplinary Counsel may, from time to time, appoint a suitable person, or persons, to act as an investigator, or investigators, for the Bar with respect to grievances, allegations, or instances of alleged misconduct by attorneys or LPs, and matters of reinstatement of attorneys or LPs. Such investigator or investigators shall perform such duties in relation thereto as may be required by Disciplinary Counsel.

(Rule 2.1(b) amended by Order dated May 31, 1984, July 27, 1984, nunc pro tunc May 31, 1984.)

(Rule 2.1 amended by Order dated June 30, 1987.)

(Rule 2.1 amended by Order dated October 1, 1990.)

(Rule 2.1(d) amended by Order dated November 6, 1995.)

(Rule 2.1 deleted and new Rule 2.1 added by Order dated October 3, 1997.)

(Rule 2.1(f)(2) amended by Order dated April 26, 2007.)

(Rule 2.1(d)(2), 2.1(f)(3), 2.1(f)(3)(A), and 2.1(f)(3)(D) amended by Order dated October 19, 2009.)

(Former Rule 2.1(c)(3) and 2.1(c)(4) deleted; former Rule 2.1(c)(5), 2.1(c)(6), and 2.1(c)(7) redesignated Rule 2.1(c)(3), 2.1(c)(4), and 2.1(c)(5); Rule 2.1(a), 2.1(b)(1), 2.1(b)(2), 2.1(b)(3), 2.1(c), 2.1(c)(2), 2.1(c)(3), 2.1(c)(4), 2.1(c)(5), 2.1(d)(4), 2.1(e), 2.1(f)(1), 2.1(f)(2), 2.1(f)(3), 2.1(f)(3)(A), 2.1(f)(3)(B), 2.1(f)(3)(C), and 2.1(f)(3)(D) amended; and Rule 2.1(g) added by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 2.1(a) and (g) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 2.1(f)(A) and (D) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 2.2 Disciplinary Counsel.

(a) Appointment. Disciplinary Counsel is retained and employed by the Bar.

(b) Duties.

(1) Disciplinary Counsel shall review and investigate, as appropriate, allegations or instances of alleged misconduct on the part of attorneys or LPs, including grievances referred by the Intake Office or the General Counsel and matters arising out of notifications from financial institutions that an instrument drawn against an attorney's or LP's Lawyer Trust Account has been dishonored. In the absence of a grievance or notification through these channels, Disciplinary Counsel may initiate investigation of the conduct of an attorney or LP based upon reasonable belief that misconduct has occurred, that an attorney or LP is disabled from continuing to practice law, or that an attorney or LP has abandoned a law practice or died leaving no attorney or LP who has undertaken the responsibility of either managing or winding down the law practice.

(2) Disciplinary Counsel has authority to issue and seek the enforcement of subpoenas to compel the attendance of witnesses, including the attorney or LP being investigated, and the production of books, papers, documents, and other records pertaining to the matter under investigation. Subpoenas issued pursuant to this rule may be enforced by application to any circuit court. The circuit court shall determine what sanction to impose, if any, for noncompliance.

(3) For those grievances not dismissed pursuant to BR 2.6(b), Disciplinary Counsel may, in its discretion, offer diversion pursuant to BR 2.10.

(4) Disciplinary Counsel shall provide advice and counsel to the SPRB on the disposition of all grievances neither dismissed pursuant to BR 2.6(b) nor resolved by diversion pursuant to BR 2.10.

(5) Disciplinary Counsel shall seek, as appropriate, relief provided for in BR 3.1, 3.2, 3.3, 3.4, and 3.5.

(6) Disciplinary Counsel shall prosecute formal proceedings as directed by the SPRB, including any review or other proceeding before the Supreme Court.

(7) Disciplinary Counsel shall represent the Bar in all contested reinstatement proceedings.

(8) Disciplinary Counsel shall represent the Bar before the court in all contested admission proceedings.

(Rule 2.2 amended by Order dated October 19, 2009.)

(Former Rule 2.2 deleted; current Rule 2.2 added by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 2.2(b)(2) amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 2.2(b)(1) and (b)(2) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 2.2(b)(1) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 2.3 State Professional Responsibility Board.

(a) Appointment. Members of the SPRB are nominated by the Board and appointed by the Supreme Court. The SPRB shall be composed of eight resident attorneys and two members of the public who are not attorneys. Two attorney members shall be from Board Region 5 and one attorney member shall be from each of the remaining Board regions located within the state of Oregon. The public members shall be at-large appointees. Members of the SPRB shall be appointed for terms of not more than four years and shall serve not more than four years consecutively. Members are eligible for reappointment to a nonconsecutive term not to exceed four years. Each year the Board shall nominate and the court shall appoint one attorney member of the SPRB as chairperson. In the event the chairperson is unable to carry out any responsibility given to them by these rules, the chairperson may designate another attorney member of the SPRB to do so.

(b) Duties of SPRB. The SPRB shall supervise the investigation of grievances, allegations, or instances of alleged misconduct on the part of attorneys and LPs and act on such matters as it may deem appropriate. A grievance from a client or other aggrieved person shall not be a prerequisite to the investigation of alleged misconduct by attorneys or LPs or the institution of disciplinary proceedings against any attorney or LP.

(c) Authority.

(1) The SPRB has the authority to dismiss grievances, allegations, or instances of alleged misconduct against attorneys or LPs; refer matters to Disciplinary Counsel for further investigation; issue admonitions for misconduct; refer attorneys or LPs to the State Lawyers Assistance Committee; direct Disciplinary Counsel to institute disciplinary proceedings against any attorney or LP; or take other action within the discretion granted to the SPRB by these rules.

(2) The SPRB has the authority to adopt rules dealing with the handling of its affairs, subject to the Board's approval.

(d) Resignation and Replacement. The court may remove, at its discretion, or accept the resignation of, any officer or member of the SPRB and appoint a successor who shall serve the unexpired term of the member who is replaced.

(Rule 2.3(b)(3) amended by Order dated April 4, 1991, effective April 15, 1991.)

(Rule 2.3(b)(1) amended by Order dated April 4, 1991, effective October 7, 1991. Amended by Order dated June 5, 1997, effective July 1, 1997. Amended by Order dated February 5, 2001.)

(Rule 2.3(b)(1) amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 2.3(b)(3) amended by Order dated July 9, 2003, effective August 1, 2003.)

(Rule 2.3(a) amended by Order dated December 8, 2003, effective January 1, 2004.)

(Rule 2.3(b)(1) amended by Order dated August 23, 2010, effective January 1, 2011.)

(Former Rule 2.3(a)(1), 2.3(a)(2)(A), 2.3(a)(2)(B), 2.3(a)(2)(C), 2.3(a)(2)(D), 2.3(a)(2)(E), 2.3(a)(2)(F), 2.3(a)(3)(A), 2.3(a)(3)(B), 2.3(a)(3)(C), 2.3(b), 2.3(b)(3)(C), 2.3(b)(3)(D), and 2.3(b)(3)(E) deleted; former Rule 2.3(b)(1), 2.3(b)(2), 2.3(b)(3), 2.3(b)(3)(A), 2.3(b)(3)(B), and 2.3(c) redesignated as Rule 2.3(a), 2.3(b), 2.3(c), 2.3(c)(1), 2.3(c)(2), and 2.3(d) by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 2.3(b) and (c)(1) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 2.3(a) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 2.4 Disciplinary Board.

(a) Composition. The Supreme Court appoints members of the Disciplinary Board. The Disciplinary Board shall consist of the Adjudicator, 7 regional chairpersons, and, for each Board region within the state of Oregon, the following additional attorney members and public members (who are not attorneys or LPs):

- (1) Region 1: 15 attorney members and 3 public members;
- (2) Region 2: 6 attorney members and 2 public members;
- (3) Region 3: 6 attorney members and 2 public members;
- (4) Region 4: 16 attorney members and 4 public members;
- (5) Region 5: 29 attorney members and 8 public members;
- (6) Region 6: 17 attorney members and 4 public members; and
- (7) Region 7: 6 attorney members and 2 public members.

(b) The regional chairpersons shall be attorneys. The attorney members of the Disciplinary Board, including the Adjudicator and the regional chairpersons, shall be resident attorneys admitted to practice in Oregon for at least 3 years. Except for the Adjudicator, members of each regional panel shall either maintain their principal office within their respective region or maintain their residence therein. The members of each region shall constitute a regional panel. Trial panels shall consist of the Adjudicator, 1 additional attorney member, and 1 public member, except as provided in BR 2.4(f)(2).

(c) Term.

(1) The Adjudicator shall serve pursuant to appointment of the court. Disciplinary Board members other than the Adjudicator shall serve terms of 3 years and may be reappointed. Regional chairpersons shall serve in that capacity for terms of 1 year, subject to reappointment by the court.

(2) Notwithstanding BR 2.4(a) and 2.4(b)(1), the powers, jurisdiction and authority of Disciplinary Board members other than the Adjudicator shall continue beyond the expiration of their appointment or after their relocation to another region for the time required to complete the cases assigned to them during their term of appointment or prior to their relocation, and until a replacement appointment has been made by the court. The regional chairpersons shall serve until a replacement appointment has been made by the court.

(d) Resignation and Replacement. The court may remove, at its discretion, or accept the resignation of, any member of the Disciplinary Board and appoint a successor. Any person so appointed to serve in a position that has time remaining in the unexpired term shall serve the time remaining in the unexpired term of the member who is replaced.

(e) Conduct. Disqualifications and Suspension of Service.

(1) Disciplinary Board members are subject to the Disciplinary Board Code of Conduct, including the rules for disqualifications contained in the Disciplinary Board Code of Conduct.

(2) The following individuals shall not serve on the Disciplinary Board:

(A) A member of the Board or the SPRB shall not serve on the Disciplinary Board during the member's term of office. This disqualification also precludes an attorney or public member from serving on the Disciplinary Board while any member of their firm is serving on the Board or the SPRB.

(B) No member of the Disciplinary Board shall sit on a trial panel with regard to a subject matter considered by the Board or the SPRB while they were a member thereof or with regard to subject matter considered by any member of their firm while a member of the Board or the SPRB.

(3) A member of the Disciplinary Board against whom charges of misconduct have been approved for filing by the SPRB is suspended from service on the Disciplinary Board until those charges have been resolved by final decision or order. If a Disciplinary Board member is suspended from the practice of law as a result of a final decision or order in a disciplinary proceeding, the member may not resume service on the Disciplinary Board until the member is once again authorized to practice law. For the purposes of this rule, charges of misconduct include authorization by the SPRB to file a formal complaint pursuant to

BR 4.1, the determination by the SPRB to admonish an attorney pursuant to BR 2.6(c)(1)(B) or BR 2.6(e)(1) which admonition is thereafter refused by the attorney, Disciplinary Counsel's notification to the court of a criminal conviction pursuant to BR 3.4(a), and Disciplinary Counsel's notification to the court of an attorney's discipline in another jurisdiction pursuant to BR 3.5(a).

(f) Duties of Adjudicator.

(1) The Adjudicator shall coordinate and supervise the activities of the Disciplinary Board.

(2) Unless disqualified after a challenge for cause pursuant to BR 2.4(h), the Adjudicator shall serve as trial panel chairperson for each trial panel adjudicating a formal proceeding, a contested reinstatement proceeding, or a proceeding brought pursuant to BR 3.5; and shall preside in every proceeding brought pursuant to BR 3.1 or 3.4. Upon the stipulation of the Bar and a respondent or applicant, the Adjudicator shall serve as the sole adjudicator in a disciplinary proceeding, a contested reinstatement proceeding, or a proceeding brought pursuant to BR 3.5 and shall have the same duties and authority under these rules as a three-member trial panel. In the event the Adjudicator is disqualified or otherwise unavailable to serve as trial panel chairperson, the regional chairperson shall appoint another attorney member of the Disciplinary Board to serve on the trial panel, with all the duties and responsibilities as the Adjudicator as to that proceeding from the date of appointment forward.

(3) The Adjudicator shall rule on all motions for default filed pursuant to BR 5.8.

(4) The Adjudicator shall determine the timeliness of both peremptory challenges and challenges for cause, including challenges for cause as to the Adjudicator, and, as appropriate, grant or deny peremptory challenges and resolve all challenges for cause to the qualifications of all trial panel members other than the Adjudicator.

(5) Upon receipt of written notice from the Disciplinary Board Clerk of a Supreme Court referral pursuant to BR 8.8, the Adjudicator shall appoint an attorney member and a public member from an appropriate region to serve on the trial panel with the Adjudicator. The Adjudicator shall give written notice to Disciplinary Counsel, Bar Counsel, and the applicant of such appointments and a copy of the notice shall be filed with the Disciplinary Board Clerk.

(6) The Adjudicator shall appoint an attorney member of the Disciplinary Board to conduct prehearing conferences as provided in BR 4.6.

(7) The Adjudicator may appoint Disciplinary Board members from any region to conduct prehearing conferences pursuant to BR 4.6, to participate with the Adjudicator in a show cause hearing pursuant to BR 6.2(d), to serve on trial panels to resolve matters submitted to the Disciplinary Board for consideration by the court, or when an insufficient number of members is available within a region for a particular proceeding.

(8) Upon receiving notice from the Disciplinary Board Clerk of a regional chairperson's appointment of an attorney member and a public member pursuant to BR 2.4(g)(1), and upon determining that either no timely challenge pursuant to BR 2.4(h) was filed or that a timely-filed challenge pursuant to BR 2.4(h) has either been denied or resulted in the appointment of a substitute member or members, the Adjudicator shall promptly establish the date and time of hearing pursuant to BR 5.4 and notify, in writing, the Disciplinary Board Clerk and the parties of the date and place of hearing. The Disciplinary Board Clerk shall provide to the trial panel members a copy of the formal complaint or statement of objections and, if one has been filed, the answer of the respondent or applicant.

(9) The Adjudicator shall rule on all questions of procedure and discovery, including such questions that may arise prior to the filing of a formal complaint, except as specifically provided elsewhere in these rules. The Adjudicator may convene the parties or their counsel before the hearing, to discuss the parties' respective estimates of time necessary to present evidence, the availability and scheduling of witnesses, the preparation of trial exhibits, and other issues that may facilitate an efficient hearing. The Adjudicator may thereafter issue an order regarding agreements or rulings made at such prehearing meeting.

(10) The Adjudicator shall convene the trial panel hearing, oversee the orderly conduct of the same and timely file with the Disciplinary Board Clerk the written opinion of the trial panel. In all trial panels in which the Adjudicator is a member of the majority, the Adjudicator shall author the trial panel opinion. In the event the Adjudicator is not a member of the majority, the attorney member of the panel shall author and timely file the trial panel opinion.

(11) In matters involving final decisions of the Disciplinary Board under BR 10.1, the Adjudicator shall review statements of costs and disbursements and objections thereto and shall fix the amount of actual and necessary costs and disbursements to be recovered by the prevailing party.

(12) The Adjudicator shall preside in all matters involving the filing of a petition for suspension pursuant to BR 7.1.

(13) Upon appointment by the court, the Adjudicator shall perform the duties of the court set forth in BR 3.2.

(14) In the event of the Adjudicator's unavailability to perform the functions set forth above, and upon written request made by General Counsel, the regional chairperson shall exercise the duties and responsibilities of the Adjudicator during the Adjudicator's unavailability. The regional chairperson's authority under this subsection shall cease upon order of the Adjudicator or the court. Unavailability for the purposes of this rule means the Adjudicator has taken a planned leave of more than fourteen (14) days, or is unavailable because of death or then existing physical or mental illness or infirmity.

(15) Notwithstanding requirements for in-person proceedings contained in BR 3.1, 3.2, 3.4, 3.5, 5.3, and 8.8, the Adjudicator may order that any disciplinary hearings or proceedings take place by videoconference, or such other means that allow for remote participation of all parties, if the Adjudicator determines remote participation is necessary to comply with local, state, or national public health orders or recommendations. Such hearings or proceedings may also take place by remote participation by agreement of the parties with the approval of the Adjudicator.

(g) Duties of Regional Chairperson.

(1) Upon receipt of written notice from Disciplinary Counsel pursuant to BR 4.1(f) or written notice from the Adjudicator pursuant to BR 3.5(g) or 5.8(a), the regional chairperson shall appoint an attorney member and a public member to serve with the Adjudicator on the trial panel from the members of the regional panel. The regional chairperson shall give written notice to Disciplinary Counsel, Bar Counsel, and the respondent of such appointments, and a copy of the notice shall be filed with the Disciplinary Board Clerk. In the event a member is disqualified pursuant to BR 2.4(h) or becomes unavailable to serve, the regional chairperson shall appoint a replacement member, giving written notice of such appointment as is given of initial appointments.

(2) The regional chairperson shall rule on all timely challenges for cause to the Adjudicator or to any attorney appointed to the role of Adjudicator pursuant to this paragraph. In the event the Adjudicator is disqualified for cause or is otherwise unavailable to chair a trial panel, the regional chairperson shall appoint an attorney member from within the region to serve in place of the Adjudicator who has all the duties and responsibilities of the Adjudicator in that proceeding. In the event no attorney member from within the region is available to serve in place of the Adjudicator, the regional chairperson shall so notify the Disciplinary Board Clerk, who will ask another regional chairperson to appoint an attorney member pursuant to the authority granted the Adjudicator in BR 2.4(f)(9). The attorney member so appointed shall have all the duties and responsibilities of the Adjudicator in that proceeding.

(3) The regional chairperson may serve on trial panels during their term of office.

(4) Upon written request from the General Counsel pursuant to BR 2.4(f)(14), the regional chairperson shall exercise the duties and responsibilities of the Adjudicator until such authority is terminated by order of the Adjudicator or the court.

(h) Challenges. The Bar and a respondent or applicant shall be entitled to one peremptory challenge of either the attorney member who is not the Adjudicator or the public member. A peremptory challenge shall be timely if filed in writing within ten days following that member's appointment to the trial panel with the Disciplinary Board Clerk. A challenge for cause as may arise under the Disciplinary Board Code of Conduct may be filed by the Bar, the respondent, or an applicant as to any member of the trial panel. A challenge for cause shall state the reason for the challenge and is timely if filed in writing within ten days following the date of the member's appointment to the trial panel or the date the Bar, the respondent, or an applicant discovers the information raising a disqualification issue, whichever is later. For purposes of this paragraph, the Adjudicator is deemed appointed to the trial panel on the same date that the regional chairperson appoints the other two members of the trial panel pursuant to BR 2.4(g)(1). A copy of the challenge for cause shall be immediately provided by email to the challenged panel member by the Disciplinary Board Clerk.

The opposing party and the challenged panel member may file a response to the challenge within 10 days of receipt of a copy of the challenge from the Disciplinary Board Clerk. No further written submissions are allowed unless requested by the Adjudicator or the regional chair.

The ruling on any challenge for cause must be in writing. The written ruling shall identify specific findings of fact and conclusions of law if the challenge is allowed. The written ruling on a challenge shall be filed with the Disciplinary Board Clerk, who shall send copies of the ruling to all parties. The Bar and a respondent or applicant may waive a disqualification of a member in the same manner as in the case of a judge under the Code of Judicial Conduct.

(i) Duties of Trial Panel.

(1) Trial. The trial panel to which a disciplinary or contested reinstatement proceeding has been referred has a duty to promptly try the issues.

(2)

(A) Opinions. The trial panel shall issue a written opinion identifying the concurring members of the trial panel. A dissenting member shall be identified and may file a dissenting opinion attached to the majority opinion. The majority opinion shall include specific findings of fact, conclusions of law, and a disposition. In any matter in which the Adjudicator is not a member of the majority, the other attorney member shall author the trial panel opinion. The author of any opinion shall file the original opinion with the Disciplinary Board Clerk, and the Disciplinary Board Clerk shall send copies to the parties. The opinion shall be filed within 28 days after the conclusion of the hearing, the settlement of the transcript if required under BR 5.3(e), or the filing of briefs if requested by the Adjudicator pursuant to BR 4.8, whichever is later.

(B) Extensions of Time to File Opinions. If the trial panel requires additional time to issue its opinion, the Adjudicator may so notify the parties, indicating the anticipated date by which an opinion shall be issued, not to exceed 90 days after the date originally due. If no opinion has been issued within 90 days after the date originally due, either party may file a motion with the Disciplinary Board, seeking issuance of an opinion. Upon the filing of such a motion, the Adjudicator shall enter an order establishing a date by which the opinion shall be issued, not to exceed 120 days after the date it was originally due. If no opinion has been issued by 120 days after the date originally due, either party may petition the court to enter an order compelling the Disciplinary Board to issue an opinion by a date certain.

(3) Record. The trial panel shall keep a record of all proceedings before it, including a transcript of the proceedings and exhibits offered and received, and shall promptly file the record with the Disciplinary Board Clerk, after the hearing concludes.

(4) Notice. The Disciplinary Board Clerk shall promptly notify the parties of receipt of the trial panel opinion.

(j) Publications.

Current versions of this document are maintained on the OSB website: www.osbar.org

(1) Disciplinary Counsel shall cause to be prepared, on a periodic basis, a reporter service containing the full text of all Disciplinary Board decisions not reviewed by the court.

(2) Disciplinary Counsel shall have printed in the Bar Bulletin, on a periodic basis, summaries of the court's disciplinary proceeding, contested admission, and contested reinstatement decisions, and summaries of all Disciplinary Board decisions not reviewed by the court.

(Rule 2.4(a) amended by Order dated January 2, 1986, further amended by Order dated January 24, 1986 effective January 2, 1986, nun pro tunc.)

(Rule 2.4(d)(2) amended by Order dated September 10, 1986, effective September 10, 1986.)

(Rules 2.1, 2.6, 2.7 and 2.8 amended by Order dated June 30, 1987.)

(Rule 2.4(j) amended by Order dated October 1, 1987, effective October 1, 1987.)

(Rule 2.4(f)(1) amended by Order dated February 22, 1988.)

(Rule 2.4(d), (h) and (i) amended by Order dated February 23, 1988.)

(Rule 2.4(e) amended by Order dated March 13, 1989, effective April 1, 1989, corrected June 1, 1989.)

(Rule 2.4(i)(3) amended by Order dated March 20, 1990, effective April 2, 1990.)

(Rule 2.4(a) amended by Order dated January 10, 1991.)

(Rule 2.4(d), (e) and (i) amended by Order dated July 22, 1991.)

(Rule 2.4(b) amended by Order dated December 22, 1992.)

(Rule 2.4(a), (e) and (f) amended by Order dated December 13, 1993.)

(Rule 2.4(i)(3) amended by Order dated June 5, 1997, effective July 1, 1997.)

(Rule 2.4 (a) amended by Order dated July 10, 1998.)

(Rule 2.4(e), (f), (g), (h), (i) and (j) amended by Order dated February 5, 2001.)

(Rule 2.4(b)(2) and (i)(2)(a) and (b) amended by Order dated June 28, 2001.)

(Rule 2.4(b)(1) and (2);(e)(4); (f)(1); (g); (h); and (i)(2)(a) and (b), (3) and (4) amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 2.4(d)(3) added by Order dated January 21, 2005.)

(Rule 2.4(b)(2) amended by Order dated April 26, 2007.)

(Rule 2.4(g) and 2.4(h) amended by Order dated October 19, 2009.)

(Rule 2.4(a) amended by Order dated August 23, 2010, effective January 1, 2011.)

(Rule 2.4(e)(8) added by Order dated August 12, 2013, effective November 1, 2013.)

(Former Rule 2.4(f)(3), 2.4(f)(5), and 2.4(h) deleted; former Rule 2.4(e)(3), 2.4(e)(4), 2.4(e)(5), 2.4(e)(6), 2.4(e)(7), 2.4(e)(8), 2.4(f)(4), 2.4(i), and 2.4(j) redesignated as Rule 2.4(e)(4), 2.4(e)(5), 2.4(e)(6), 2.4(e)(7), 2.4(e)(11), 2.4(e)(12), 2.4(f)(3), 2.4(h), and 2.4(i); Rule 2.4(a), 2.4(b)(1), 2.4(b)(2), 2.4(c), 2.4(d)(1), 2.4(d)(2)(A), 2.4(d)(2)(B), 2.4(d)(3), 2.4(e), 2.4(e)(1), 2.4(e)(2), 2.4(e)(4), 2.4(e)(5), 2.4(e)(6), 2.4(e)(7), 2.4(e)(11), 2.4(e)(12), 2.4(f)(1), 2.4(f)(2), 2.4(h)(1), 2.4(h)(2)(A), 2.4(h)(2)(B), 2.4(h)(3), 2.4(h)(4), 2.4(i)(1), and 2.4(i)(2) amended; Rule 2.4(e)(3), 2.4(e)(8), 2.4(e)(9), and 2.4(e)(10) added by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 2.4(e)(8) and 2.4(e)(9) amended; Rule 2.4(e)(13), 2.4(e)(14), and 2.4(f)(4) added by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 2.4(a) amended by Order dated October 27, 2019, effective December 1, 2019.)

(Rule 2.4(a) amended by Order dated January 9, 2020, effective January 15, 2020.)

(Rule 2.4(e)(15) added by Order dated November 22, 2021.)

Rule 2.4(a), (b), (d), (e), (f)(4), (f)(10), (g)(2), (h), (i)(2)(A), amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 2.5 Intake and Review of Inquiries and Complaints by the Intake Office.

(a) Intake Office. The Bar shall maintain an Intake Office, separate from that of Disciplinary Counsel. The Intake Office shall, to the extent possible and resources permitting, receive, review, and respond to all inquiries received by the Bar concerning the conduct of attorneys and LPs. The Intake Office will determine the manner and extent of review required for the appropriate disposition of any inquiry, and may refer inquiries to other resources as it deems appropriate.

(b) Disposition by Intake Office.

(1) If the Intake Office determines that, even if true, an inquiry does not allege misconduct, it shall dismiss the inquiry with written notice to the complainant and to the attorney or LP named in the inquiry.

(2) If the Intake Office determines, after reviewing the inquiry and any other information deemed

relevant, that there is sufficient evidence to support a reasonable belief that misconduct may have occurred, the inquiry shall be referred to Disciplinary Counsel as a grievance. Otherwise, the inquiry shall be dismissed with written notice to the complainant and the attorney or LP.

(3) The Intake Office may, as it deems appropriate, contact the involved attorney or LP and attempt to assist the parties in resolving the complainant's concerns upon receipt of an inquiry. The provision of such assistance does not preclude a referral of a grievance to Disciplinary Counsel.

(c) Review by General Counsel. Any dismissed inquiry may be reviewed by the General Counsel upon written request of the complainant. General Counsel may request additional information from the complainant or the attorney or LP and, after review, shall either affirm the dismissal or refer the inquiry to Disciplinary Counsel as a grievance. General Counsel may affirm the dismissal by adopting the reasoning of the Intake Office without additional discussion. The decision of the General Counsel is final.

(Rule 2.5 amended by Order dated January 17, 1992.)

(Rule 2.5(g) amended by Order dated October 10, 1994.)

(Rule 2.5(c), (f), (g), and (h) amended by Order dated June 5, 1997, effective July 1, 1997.)

(Rule 2.5(a), (b), (c), (d), (f), (h) and (i) amended by Order dated February 5, 2001.)

(Rule 2.5(a) and (b) added and former Rule 2.5(b) through (i) renumbered 2.6 by Order dated July 9, 2003, effective August 1, 2003.)

(Rule 2.5(a) and (b) amended and 2.5(c) added by Order dated August 29, 2007.)

(Rule 2.5(a), 2.5(b)(1), 2.5(b)(2), and 2.5(c) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 2.5(c) amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 2.5 amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 2.5 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 2.6 Investigations

(a) Review of Grievance by Disciplinary Counsel.

(1) For grievances referred to Disciplinary Counsel by the Intake Office, Disciplinary Counsel shall, within fourteen (14) days after receipt of the grievance, mail a copy of the grievance to the attorney or LP, if the Intake Office has not already done so, and notify the attorney or LP that they must respond to the grievance in writing to Disciplinary Counsel within 21 days of the date Disciplinary Counsel requests such a response. Disciplinary Counsel may grant an extension of time to respond for good cause shown upon the written request of the attorney or LP. An attorney or LP need not respond to the grievance if Disciplinary Counsel notifies the attorney or LP that further information from the attorney or LP is not necessary.

(2) If the attorney or LP fails to respond to Disciplinary Counsel or to provide records requested by Disciplinary Counsel within the time allowed, Disciplinary Counsel may file a petition with the Disciplinary Board to suspend the attorney or LP from the practice of law, pursuant to the procedure set forth in BR 7.1. Notwithstanding the filing of a petition under this rule, Disciplinary Counsel may investigate the grievance.

(3) Disciplinary Counsel may, if appropriate, offer to enter into a diversion agreement with the attorney or LP pursuant to BR 2.10. If Disciplinary Counsel chooses not to offer a diversion agreement to the attorney or LP pursuant to BR 2.10 and does not dismiss the grievance pursuant to BR 2.6(b), Disciplinary Counsel shall refer the grievance to the SPRB at a scheduled meeting.

(b) Dismissal of Grievance by Disciplinary Counsel. If, after considering a grievance, the response of the attorney or LP, and any additional information deemed relevant, Disciplinary Counsel determines that probable cause does not exist to believe misconduct has occurred, Disciplinary Counsel shall dismiss the grievance. Disciplinary Counsel shall notify the complainant and the attorney or LP of the dismissal in writing. A complainant may contest in writing the action taken by Disciplinary Counsel in dismissing their grievance, in which case Disciplinary Counsel shall submit a report on the grievance to the SPRB at a scheduled meeting. The SPRB shall thereafter take such action as it deems appropriate.

(c) Review of Grievance by SPRB.

(1) The SPRB shall evaluate a grievance based on the report of Disciplinary Counsel to determine whether probable cause exists to believe misconduct has occurred. The SPRB shall either dismiss the grievance, admonish the attorney or LP, direct Disciplinary Counsel to file a formal complaint by the Bar against the attorney or LP, or take action within the discretion granted to the SPRB by these rules.

(A) If the SPRB determines that probable cause does not exist to believe misconduct has occurred, the SPRB shall dismiss the grievance and Disciplinary Counsel shall notify the complainant and the attorney or LP of the dismissal in writing.

(B) If the SPRB determines that the attorney or LP should be admonished, Disciplinary Counsel shall so notify the attorney or LP within fourteen (14) days of the SPRB's meeting. If an attorney or LP refuses to accept the admonition within the time specified by Disciplinary Counsel, Disciplinary Counsel shall file a formal complaint against the attorney or LP on behalf of the bar. Disciplinary Counsel shall notify the complainant in writing of the admonition of the attorney or LP.

(C) If the SPRB determines that the complaint should be investigated further, Disciplinary Counsel shall conduct the investigation and notify the complainant and the attorney or LP in writing of such action.

(d) Reconsideration; Discretion to Rescind.

(1) An SPRB decision to dismiss a grievance or allegation of misconduct against an attorney or LP shall not preclude reconsideration or further proceedings on such grievance or allegation, if evidence that is not available or submitted at the time of such dismissal justifies, in the judgment of not less than a majority of SPRB, such reconsideration or further proceedings.

(2) The SPRB may rescind a decision to file a formal complaint against an attorney or LP only when, to the satisfaction of a majority of the entire SPRB, good cause exists. Good cause is:

(A) new evidence that would have clearly affected the SPRB's decision to file a formal complaint; or

(B) legal authority, not known to the SPRB at the time of its last consideration of the matter, that establishes that the SPRB's decision to file a formal complaint was incorrect.

(e) Approval of Filing of Formal Complaint.

(1) If the SPRB determines that a formal complaint should be filed against an attorney or LP, or if an attorney or LP rejects an admonition offered by the SPRB, Disciplinary Counsel may appoint Bar Counsel. Disciplinary Counsel shall notify the attorney or LP and the complainant in writing of such action.

(2) Notwithstanding an SPRB determination that probable cause exists to believe misconduct has occurred, the SPRB shall have the discretion to direct that the Bar take no further action on a grievance or allegation of misconduct if one or more of the following circumstances exist:

(A) the attorney or LP is no longer an active member of the Bar or is not engaged in the practice of law, and is required under BR 8.1 to demonstrate good moral character and general fitness to practice law before resuming active membership status or the practice of law in Oregon;

(B) other disciplinary proceedings are pending that are likely to result in the attorney's or LP's disbarment;

(C) other disciplinary charges are authorized or pending and the anticipated sanction, should the Bar prevail on those charges, is not likely to be affected by a finding of misconduct in the new matter or on an additional charge; or

(D) formal disciplinary proceedings are impractical in light of the circumstances or the likely outcome of the proceedings.

An exercise of discretion under this rule to take no further action on a grievance or allegation of misconduct shall not preclude further SPRB consideration or proceedings on such grievance or allegation in the future.

(3) Notwithstanding an SPRB determination that probable cause exists to believe misconduct has occurred, the SPRB shall have the discretion to dismiss a grievance or allegation of misconduct if the SPRB, considering the facts and circumstances as a whole, determines that dismissal would further the interests of justice and would not be harmful to the interests of clients or the public. Factors the SPRB may take into account in exercising that discretion include, but are not limited to:

- (A) the attorney's or LP's mental state;
- (B) whether the misconduct is an isolated event or part of a pattern of misconduct;
- (C) the potential or actual injury caused by the attorney's or LP's misconduct;
- (D) whether the attorney or LP fully cooperated in the investigation of the misconduct; and
- (E) whether the attorney or LP previously was admonished or disciplined for misconduct.

Misconduct that adversely reflects on the attorney's or LP's honesty, trustworthiness, or fitness to practice law shall not be subject to dismissal under this rule.

(f) Investigation of Inquiries Involving Disciplinary Counsel, General Counsel, or other Bar agents. Inquiries that allege misconduct concerning Disciplinary Counsel or General Counsel of the Bar, or agents thereof; or that Bar Counsel has engaged in misconduct while acting on the Bar's behalf, shall be referred to the chairperson of the SPRB within seven days of their receipt by the Bar.

(1) If the SPRB chairperson determines that probable cause does not exist to believe misconduct has occurred, the SPRB chairperson shall dismiss the inquiry and notify the parties of the dismissal in writing. A complainant may contest the dismissal in writing, in which case the matter shall be submitted to the SPRB at a scheduled meeting. The SPRB shall thereafter take such action as it deems appropriate.

(2) If the SPRB chairperson determines the inquiry should be investigated, the SPRB chairperson may appoint an investigator of their choice to investigate the matter and to report on the matter directly to the SPRB. The same procedure shall, as far as practicable, apply to the investigation of such grievances as apply to members of the Bar generally.

(Rule 2.6 amended and 2.6(g)(3) added by Order dated July 9, 2003, effective August 1, 2003.)

(Rule 2.6 amended by Order dated December 8, 2003, effective January 1, 2004.)

(Rule 2.6(g)(1) amended by Order dated March 20, 2008.)

(Rule 2.6(f)(2) amended by Order dated October 19, 2009.)

(Rule 2.6(a)(2) amended by Order dated August 12, 2013, effective November 1, 2013.)

(Former Rule 2.6(e), 2.6(f), and 2.6(g) redesignated as 2.6(d), 2.6(e), and 2.6(f); former Rule 2.6(d) deleted; Rule 2.6(a)(3), Rule 2.6(e)(2)(A), 2.6(e)(2)(B), 2.6(e)(2)(C), 2.6(e)(2)(D), 2.6(e)(3)(A), 2.6(e)(3)(B), 2.6(e)(3)(C), 2.6(e)(3)(D), and 2.6(e)(3)(E) added; and 2.6(a), 2.6(a)(1), 2.6(a)(2), 2.6(b), 2.6(c), 2.6(c)(1), 2.6(c)(1)(A), 2.6(c)(1)(B), 2.6(c)(1)(C), 2.6(d)(1), 2.6(d)(2), 2.6(d)(2)(A), 2.6(d)(2)(B), 2.6(e), 2.6(e)(1), 2.6(e)(2), 2.6(e)(2)(C), 2.6(e)(3), 2.6(e)(3)(D), 2.6(f), 2.6(f)(1), and 2.6(f)(2) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 2.6(a) through (e) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 2.6(a)(1), (b), (c)(1)(B), (f) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 2.7 Investigations of Alleged Misconduct Other Than by Inquiry.

Allegations or instances of alleged misconduct that are brought or come to the attention of the Bar other than through the receipt of a written inquiry shall be evaluated using the procedure specified in BR 2.6 except as that rule may be inapplicable due to the lack of a written grievance or a complainant with whom to communicate.

(Rule amended and renumbered by Order dated July 9, 2003, effective August 1, 2003.)

(Rule 2.7 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 2.7 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 2.8 Proceedings Not to Stop On Compromise.

Neither unwillingness nor neglect of the complainant to pursue a grievance or to participate as a witness, nor settlement, compromise or restitution of any civil claim, shall, in and of itself, justify any failure to undertake or complete the investigation or the formal resolution of a disciplinary or contested reinstatement matter or proceeding.

(Rule 2.7 amended by Order dated July 22, 1991.)

(Rule renumbered by Order dated July 9, 2003, effective August 1, 2003.)

(Rule 2.8 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 2.8 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 2.9 Requests for Information And Assistance.

The Bar may request a complainant or applicant to supply and disclose to the investigating authorities of the Bar all documentary and other evidence in their possession, and the names and addresses of witnesses relating to their inquiry and may otherwise request the complainant to assist such investigating authorities in obtaining evidence in support of the facts surrounding their inquiry.

(Rule renumbered by Order dated July 9, 2003, effective August 1, 2003.)

(Rule 2.9 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 2.9 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 2.10 Diversion.

(a) Diversion Offered by Disciplinary Counsel. As an alternative to seeking authority from the SPRB to offer an attorney or LP an admonition or to file a formal complaint, Disciplinary Counsel may offer to the attorney or LP to divert a grievance on the condition that the attorney or LP enter into a diversion agreement in which the attorney or LP agrees to participate in a remedial program as set forth in the agreement. An attorney or LP does not have a right to have a grievance diverted under this rule.

(b) Diversion Eligibility. Disciplinary Counsel may consider diversion of a grievance if:

- (1) The misconduct does not involve the misappropriation of funds or property; fraud, dishonesty, deceit or misrepresentation; or the commission of a misdemeanor involving moral turpitude or a felony under Oregon law;
- (2) The misconduct appears to be the result of inadequate law office management, chemical dependency, a physical or mental health condition, negligence, or a lack of training, education or other similar circumstance; and
- (3) There appears to be a reasonable likelihood that the successful completion of a remedial program will prevent the recurrence of conduct by the attorney or LP similar to that under consideration for diversion.

(c) Offer of Diversion.

(1) If, after investigation, Disciplinary Counsel determines that an attorney or LP may have committed misconduct and that the matter is appropriate for diversion under this rule, Disciplinary Counsel may offer a diversion agreement to the attorney or LP. The attorney or LP has 30 days from the date diversion is offered to accept and enter into the diversion agreement. Disciplinary Counsel may grant an extension of time to the attorney or LP for good cause shown.

(2) An attorney or LP may decline to enter into a diversion agreement, in which case Disciplinary Counsel

shall refer the grievance to the SPRB for review pursuant to Rule 2.6.

(d) Diversion Agreement.

(1) A diversion agreement shall require the attorney or LP to participate in a specified remedial program to address the apparent cause of the misconduct. Such a remedial program may include, but is not limited to: appointment of a diversion supervisor; assistance or training in law office management; chemical dependency treatment; counseling or peer support meetings; oversight by an experienced practicing attorney; voluntary limitation of areas of practice for the period of the diversion agreement; restitution; or a prescribed course of continuing legal education. The attorney or LP shall pay the costs of a remedial program.

(2) A diversion agreement shall require the attorney or LP to stipulate to a set of facts concerning the complaint or allegation of misconduct being diverted and to agree that, in the event the attorney or LP fails to comply with the terms of the diversion agreement, the stipulated facts shall be deemed true in any subsequent disciplinary proceeding.

(3) A diversion agreement may be amended at any time by agreement between Disciplinary Counsel and the attorney or LP. Disciplinary Counsel is not obligated to amend a diversion agreement to incorporate additional complaints or allegations of misconduct made against the attorney or LP subsequent to the date of the original agreement.

(4) The term of a diversion agreement shall be no more than 24 months following the date of the last amendment to the agreement.

(5) In a diversion agreement, the attorney or LP shall agree that a diversion supervisor, treatment provider or any other person to whom the attorney or LP has been referred pursuant to the remedial program specified in the agreement shall report to Disciplinary Counsel any failure by the attorney or LP to comply with the terms of the agreement.

(6) If a diversion agreement is entered into between Disciplinary Counsel and the attorney or LP, Disciplinary Counsel shall so notify the complainant in writing.

(e) Compliance and Disposition.

(1) If it appears to Disciplinary Counsel that an attorney or LP has failed to comply with the terms of a diversion agreement and Disciplinary Counsel determines that the allegation of noncompliance, if true, warrants the termination of the diversion agreement, Disciplinary Counsel shall provide the attorney or LP an opportunity to be heard, through written submission, concerning the alleged noncompliance. Thereafter, Disciplinary Counsel shall determine whether to terminate the diversion agreement and, if so, shall refer the matter to the SPRB for review pursuant to BR 2.6.

(2) If an attorney or LP fulfills the terms of a diversion agreement, Disciplinary Counsel thereafter shall dismiss the grievance with written notice to the complainant and the attorney or LP. The dismissal of a grievance after diversion shall not be considered a prior disciplinary offense in any subsequent proceeding against the attorney or LP.

(f) Public Records Status. The Bar shall treat records relating to a grievance diverted under this rule, a diversion agreement, or a remedial program as official records of the Bar, subject to the Oregon Public Records Law and also subject to any applicable exemption.

(Rule 2.10 added by Order dated July 9, 2003, effective August 1, 2003.)

(Rule 2.10(a), 2.10(c)(2), and 2.10(d)(4) amended by Order dated October 19, 2009.)

(Rule 2.10(a), 2.10(b), 2.10(c)(1), 2.10(c)(2), 2.10(d)(1), 2.10(d)(2), 2.10(d)(3), 2.10(d)(6), 2.10(e)(1), 2.10(e)(2), and 2.10(f) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 2.10(a) and (d) amended by Order dated August 17, 2022, effective July 1, 2023.)

Title 3 — Special Proceedings

Rule 3.1 Interim Suspension During Pendency of Disciplinary Proceedings.

Current versions of this document are maintained on the OSB website: www.osbar.org

(a) **Petition for Interim Suspension.** At any time after Disciplinary Counsel has determined probable cause exists that an attorney or LP has engaged in misconduct, has evidence sufficient to establish a probable violation of one or more rules of professional conduct or the Bar Act, and reasonably believes that clients or others will suffer immediate and irreparable harm by the continued practice of law by the attorney or LP, Disciplinary Counsel shall petition the Adjudicator for an order for interim suspension of the attorney's or LP's license to practice law pending the outcome of the disciplinary proceeding.

(b) **Contents of Petition; Notice to Answer; Service.** A petition for the suspension of an attorney or LP under this rule shall set forth the acts and violations of the rules of professional conduct or statutes submitted by the Bar, together with an explanation of why interim suspension is warranted under BR 3.1(a). If a formal complaint has been filed against the attorney or LP, a copy shall be attached. The petition may be supported by documents or affidavits. The notice to answer shall provide that an answer to the petition must be filed with the Disciplinary Board Clerk within fourteen (14) days of service and that, absent the timely filing of an answer with the Disciplinary Board Clerk, the relief sought can be obtained. Disciplinary Counsel shall file the petition with the Disciplinary Board Clerk and shall serve a copy, along with the notice of answer, on the attorney or LP pursuant to BR 1.8.

(c) **Answer by Attorney or LP.** The attorney or LP shall file an answer to the Bar's petition with the Disciplinary Board Clerk within fourteen (14) days of service. The attorney or LP shall mail a copy of the answer to Disciplinary Counsel and file proof of mailing with the Disciplinary Board Clerk.

(d) **Default; Entry of Order.** The failure of the attorney or LP to answer the Bar's petition within the time provided in BR 3.1(c) constitutes a waiver of the attorney's or LP's right to contest the Bar's petition, and all factual allegations contained in the petition shall be deemed true. Not earlier than fourteen (14) days after service of the petition and in the absence of an answer filed by the attorney or LP named in the petition, the Adjudicator shall review the sufficiency of the petition. If the petition establishes a probable violation of one or more rules of professional conduct or the Bar Act, and a reasonable belief that clients or others will suffer immediate or irreparable harm by the continued practice of law by the attorney or LP, the Adjudicator shall enter an appropriate interim order suspending the attorney's or LP's license to practice law until further order of the Adjudicator or the Supreme Court. The Disciplinary Board Clerk shall send copies of the order to the parties.

(e) **Answer filed; Setting hearing on interim suspension.** Upon the timely filing of the attorney's or LP's answer pursuant to BR 3.1(c), the Adjudicator shall hold a hearing on the Bar's petition not less than 30 days nor more than 60 days after the date the answer is filed. The Disciplinary Board Clerk shall promptly notify Disciplinary Counsel and the attorney or LP named in the petition of the date, time, and location of the hearing. The hearing shall take place consistently with BR 5.3(a), (b), (c), and (d). At the hearing, the Bar must prove by clear and convincing evidence that one or more rules of professional conduct or provision of the Bar Act has been violated by the attorney or LP named in the petition and that clients or others will suffer immediate or irreparable harm by the continued practice of law by the attorney or LP. Proof that clients or others will suffer immediate or irreparable harm by the continued practice of law by the attorney or LP may include, but is not limited to, establishing within the preceding 12-month period:

- (1) theft or knowing conversion of funds held by the attorney or LP in any fiduciary capacity, including but not limited to funds that should have been maintained in a lawyer or LP trust account;
- (2) three or more instances of failure to appear in court on behalf of a client notwithstanding having notice of the setting; or
- (3) abandoning a practice with no provision of new location or contact information to three (3) or more clients.

If the attorney or LP, having been notified of the date, time, and location of the hearing, fails to appear, the Adjudicator may enter an order finding the attorney or LP in default, deeming the allegations contained in the petition to be true, proceed on the basis of that default consistent with BR 3.1(d), and enter an appropriate

order. The Disciplinary Board Clerk shall send copies of the order to the parties.

(f) Order of Adjudicator; Suspension; Restrictions on Trust Account; Notice to Clients; Custodian; Other Orders. The Adjudicator, upon the record pursuant to BR 3.1(d) or after the hearing provided in 3.1(e), shall enter an appropriate order. If the Adjudicator grants the Bar's petition and grants an interim suspension of the attorney's or LP's license to practice law, the order of suspension shall state an effective date. The suspension shall remain in effect until further order of the Adjudicator or the court. The Adjudicator may enter such other orders as appropriate to protect the interests of the suspended attorney or LP, the suspended attorney's or LP's clients, and the public, including, but not limited to:

(1) an order that, when served upon a financial institution, serves as an injunction prohibiting withdrawals from the attorney's or LP's trust account or accounts except in accordance with restrictions set forth in the Adjudicator's order.

(2) an order directing the attorney or LP to notify current clients and any affected courts of the attorney's or LP's suspension; and to take such steps as are necessary to deliver client property, withdraw from pending matters, and refund any unearned fees.

(3) an order appointing another attorney or LP as custodian to take possession of and inventory the files of the suspended attorney or LP and take such further action as necessary to protect the interests of the suspended attorney's or LP's clients. Any attorney or LP so appointed by the court shall not disclose any information contained in any file without the consent of the affected client, except as is necessary to carry out the order of the Adjudicator.

The Disciplinary Board Clerk shall send copies of the order to the parties.

(g) Costs and Expenses. The Adjudicator may direct that the costs and expenses associated with any proceeding under this rule be allowed to the prevailing party. The procedure for the recovery of such costs shall be governed by BR 10.7 as practicable.

(h) Duties of Attorney or LP. An attorney or LP suspended from practice under this rule shall comply with the requirements of BR 6.3(a) and (b). An attorney or LP whose suspension under this rule exceeds 6 months must comply with BR 8.1 to be reinstated. An attorney or LP whose suspension under this rule is 6 months or less must comply with RL 11.5 in order to be reinstated.

(i) Application of Other Rules. Except as specifically provided herein, Title 4, Title 5, and Title 6 of the Rules of Procedure do not apply to proceedings brought pursuant to BR 3.1.

(j) Accelerated Proceedings Following Interim Suspension. When an attorney or LP has been suspended by order entered pursuant to BR 3.1(f), the related formal complaint filed by the Bar shall thereafter proceed and be determined as an accelerated case, without unnecessary delay. If no formal complaint has been filed against the attorney subject to suspension under this Rule, notwithstanding the provisions of this Rule, the interim suspension shall expire 45 days after date of entry. If a formal complaint has been filed, and the attorney files a timely answer contesting the charges in the formal complaint, the Adjudicator shall direct the Disciplinary Board Clerk to schedule the trial on the Bar's formal complaint (and any amendments thereto) within 120 days of the filing of the attorney's answer to the formal complaint.

(k) Supreme Court Review. No later than fourteen (14) days after the entry of an order pursuant to BR 3.1(f), Disciplinary Counsel or the attorney or LP who is the subject of an order entered pursuant to BR 3.1(f) may request the Supreme Court to review the Adjudicator's order, including conducting a *de novo* review on the record, on an expedited basis. Unless otherwise ordered by the court, an interim order of suspension, if entered, shall remain in effect until the court issues its decision.

(l) Termination of Interim Suspension. An order for interim suspension will only terminate upon further order of the Adjudicator or the Supreme Court, or upon the final disposition of the Bar's charges in the

formal complaint as determined by the Disciplinary Board or the Supreme Court, if the Bar or the attorney appeals the Disciplinary Board's decision as provided in BR 10.2. For purposes of this rule, "final disposition" means the date upon which the time to appeal the Disciplinary Board's decision has expired, or, in the case of an appeal, the effective date of the Supreme Court's decision.

(Rule 3.1(h) amended by letter dated December 10, 1987.)

(Rule 3.1 amended by Order dated February 23, 1988.)

(Rule 3.1(f) amended by Order dated March 13, 1989, effective April 1, 1989, corrected June 1, 1989.)

(Rule 3.1(a) and (g) amended by Order dated May 15, 1995.)

(Rule 3.1(g)(3) added and 3.1(h)-3.1(j) amended by Order dated October 19, 2009.)

(Former Rule 3.1(d), 3.1(f), 3.1(g) and 3.1(g)(1) deleted; former Rule 3.1(c), 3.1(e), 3.1(g)(2), 3.1(g)(3), 3.1(h), 3.1(i), and 3.1(j) redesignated 3.1(e), 3.1(f), 3.1(f)(1), 3.1(f)(3), 3.1(g), 3.1(j), and 3.1(l); Rule 3.1(c), 3.1(d), 3.1(e)(1), 3.1(e)(2), 3.1(e)(3), 3.1(f)(2), 3.1(h), 3.1(i), and 3.1(k) added; and Rule 3.1(a), 3.1(b), 3.1(e), 3.1(f), 3.1(f)(1), 3.1(f)(3), 3.1(g), 3.1(j), and 3.1(l) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 3.1(a) through (f) and (k) through (H)a and (e) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 3.1 (a) through (f), (j), (k), and (l) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 3.2 Mental Incompetency or Addiction— Involuntary Transfer to Inactive Membership Status.

(a) Summary Transfer to Inactive Status.

(1) The Supreme Court may summarily order, upon ex parte application by the Bar, that an attorney or LP be placed on inactive membership status until reinstated by the court if the attorney or LP has been adjudged by a court of competent jurisdiction to be mentally ill or incapacitated.

(2) A copy of the order shall be personally served on the attorney or LP in the same manner as provided by the Oregon Rules of Civil Procedure for service of summons and mailed to their guardian, conservator and attorney of record in any guardianship or conservatorship proceeding.

(b) Petition by Bar.

(1) The Bar may petition the court to determine whether an attorney or LP is disabled from continuing to practice law due to:

- (A) a personality disorder; or
- (B) mental infirmity or illness; or
- (C) diminished capacity; or
- (D) addiction to drugs, narcotics or intoxicants.

The Bar's petition shall be mailed to the attorney or LP and to their guardian, conservator, and attorney of record in any guardianship or conservatorship proceeding.

(2)

(A) On the filing of such a petition, the court may take or direct such action as it deems necessary or proper to determine whether an attorney or LP is disabled. Such action may include, but is not limited to, examination of such attorney or LP by qualified experts as the court shall designate.

(B) A copy of an order requiring an attorney or LP to appear, for examination or otherwise, shall be mailed by the State Court Administrator to the attorney or LP and to their guardian, conservator and attorney of record in any guardianship or conservatorship proceeding and to Disciplinary Counsel.

(C) In the event of a failure by the attorney or LP to appear at the appointed time and place for examination, the court may place the attorney or LP on inactive membership status until further order of the court.

(D) If, upon consideration of the reports of the designated experts or otherwise, the court finds that probable cause exists that the attorney or LP is disabled under the criteria set forth in BR 3.2(b)(1) from continuing to practice law, the court may order the attorney or LP to appear before the court or its designee to show cause why the attorney or LP should not be placed by the court on inactive membership status until reinstated by the court. The State Court Administrator shall mail such a show cause order to the attorney or LP and their guardian, conservator and attorney of record in any guardianship or conservatorship proceeding and to Disciplinary Counsel.

(E) After any show cause hearing as the court deems appropriate, if the court finds that the attorney or LP is disabled from continuing to practice law, the court may order the attorney or LP placed on inactive membership status. The State Court Administrator shall mail a copy of an order placing the attorney or LP on inactive membership status to the attorney or LP and their guardian, conservator, and attorney of record in any guardianship or conservatorship proceeding, and to Disciplinary Counsel.

(3) Any disciplinary investigation or proceeding pending against an attorney or LP placed by the court on inactive membership status under this rule shall be suspended and held in abeyance until further order of the court.

(c) Disability During Disciplinary Proceedings.

(1) The court may order that an attorney or LP placed on inactive membership status until reinstated by the court if, during the course of a disciplinary investigation or disciplinary proceeding, the attorney or LP files a petition with the court, with notice to Disciplinary Counsel, alleging that they are disabled from understanding the nature of the proceeding against them, assisting and cooperating with their attorney, or from participating in their defense due to:

- (A) a personality disorder; or
- (B) mental infirmity or illness; or
- (C) diminished capacity; or
- (D) addiction to drugs, narcotics or intoxicants.

(2) The court shall take or direct such action as it deems necessary or proper as provided in BR 3.2(b) to determine if the attorney or LP is disabled.

(3) The State Court Administrator shall mail a copy of the court's order to Disciplinary Counsel, Bar Counsel, and the attorney or LP and their guardian, conservator, and attorney of record in any guardianship or conservatorship proceeding, and the attorney of record in the Bar's disciplinary proceeding.

(4) Any disciplinary investigation or proceeding against an attorney or LP who the court places on inactive membership status under this rule shall be suspended and held in abeyance until further order by the court.

(5) If the court determines that the attorney or LP is not disabled under the criteria set forth in BR 3.2(c)(1), it may take such action as it deems necessary or proper, including the issuance of an order that any disciplinary investigation or proceeding against the attorney or LP that is pending or held in abeyance be continued or resumed.

(d) Appointment of Attorney. In any proceeding under this rule, the court may, on such notice as the court shall direct, appoint an attorney or attorneys to represent the attorney or LP if they are without representation.

(e) Custodians. In any proceeding under this rule, the court may, on such notice as the court shall direct, appoint an attorney or attorneys to inventory the files of the attorney or LP and to take such action as seems necessary to protect the interests of their clients. Any attorney so appointed by the court shall not disclose any information contained in any file without the consent of the affected client, except as is necessary to carry out the order of the court.

(f) Costs and Expenses. The court may direct that the costs and expenses associated with any proceeding under this rule be paid by the attorney or LP, or their estate, including compensation fixed by the court to be paid to any attorney or expert appointed under this rule. The court may order such hearings as it deems necessary or proper to determine the costs and expenses to be paid under this rule.

(g) Waiver of Privilege.

(1) Under this rule, an attorney's or LP's claim of disability in a disciplinary investigation or disciplinary proceeding, or the filing of an application for reinstatement as an active member by an attorney or LP placed on inactive membership status under this rule for disability, shall be deemed a waiver of any privilege existing between the attorney or LP and any doctor or hospital treating them during the period of the alleged disability.

(2) The attorney or LP shall, in their claim of disability or in their application for reinstatement, disclose the name of every doctor or hospital by whom they have been treated during their disability or since their placement on inactive membership status and shall furnish written consent to divulge all such information and all such doctor and hospital records as the Bar or the court may request.

(h) Application of Other Rules.

(1) The Rules of Procedure that apply to the resolution of a formal complaint or statement of objections do not apply to transfers from active to inactive membership status under BR 3.2. The placement of an attorney or LP on inactive membership status under BR 3.2 does not preclude the Bar from filing a formal complaint against the attorney or LP. An attorney or LP placed on inactive membership status under BR 3.2 must comply with the applicable provisions of Title 8 of these rules to obtain reinstatement to active membership status.

(2)

(A) An attorney or LP transferred to inactive status under this rule shall not practice law after the effective date of the transfer. This rule shall not preclude the attorney or LP from providing information on the facts of a case and its status to a succeeding attorney or LP, and such information shall be provided on request.

(B) An attorney or LP transferred to inactive status under this rule shall immediately take all reasonable steps to avoid foreseeable prejudice to any client and to comply with all applicable laws and disciplinary rules.

(C) Notwithstanding BR 3.2(b)(3) and BR 3.2(c)(4), Disciplinary Counsel may petition the court to hold an attorney or LP transferred to inactive status under this rule in contempt for failing to comply with the provisions of BR 3.2(h)(2)(i) and (ii). The court may order the attorney or LP to appear and show cause, if any, why the attorney or LP should not be held in contempt of court and sanctioned accordingly.

(i) At the direction of the court, the duties of the court set forth in this rule may be fulfilled by the Adjudicator. In such instances the duties of the State Court Administrator shall be performed by the Disciplinary Board

Clerk.

(Rule 3.2(h) amended by Order dated March 13, 1989, effective April 1, 1989, corrected June 1, 1989.)

(Former Rule 3.2(b)(1)(i), 3.2(b)(1)(ii), 3.2(b)(1)(iii), 3.2(b)(1)(iv), 3.2(c)(1)(i), 3.2(c)(1)(ii), 3.2(c)(1)(iii), 3.2(c)(1)(iv), (c)(4), 3.2(h)(2)(i), 3.2(h)(2)(ii), and 3.2(h)(2)(iii) redesignated as Rule 3.2(b)(1)(A), 3.2(b)(1)(B), 3.2(b)(1)(C), 3.2(b)(1)(D), 3.2(c)(1)(A), 3.2(c)(1)(B), 3.2(c)(1)(C), 3.2(c)(1)(D), 3.2(c)(5), 3.2(h)(2)(A), 3.2(h)(2)(B), and 3.2(h)(2)(C); Rule 3.2(c)(4) added; and Rule 3.2(a)(2), 3.2(b), 3.2(b)(1)(C), 3.2(b)(2)(A), 3.2(b)(2)(D), 3.2(b)(2)(E), 3.2(b)(3), 3.2(c)(1), 3.2(c)(1)(C), 3.2(c)(2), 3.2(c)(3), 3.2(c)(5), 3.2(g)(1), 3.2(g)(2), 3.2(h)(1), 3.2(h)(2)(A), 3.2(h)(2)(B), and 3.2(h)(2)(C) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 3.2(a)(2) amended and Rule 3.2(h)(2)(C)(i) added by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 3.2(a) through (h) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 3.2(a) through (h) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 3.3 Allegations of Criminal Conduct Involving Attorneys and LPs.

(a) If the SPRB directs the filing of a formal complaint that alleges acts involving the possible commission of a crime that do not appear to have been the subject of a criminal prosecution, Disciplinary Counsel shall report the possible crime to the appropriate investigatory authority.

(b) On the filing of an accusatory instrument against an attorney or LP for the commission of a misdemeanor that may involve moral turpitude or of a felony, Disciplinary Counsel shall determine whether a disciplinary investigation should be initiated against such attorney or LP.

(Rule 3.3 amended by Order dated March 31, 1989.)

(Rule 3.3(a) and 3.3(b) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Title for Rule 3.3 and 3.3(b) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Title for Rule 3.3 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 3.4 Conviction of Attorneys or LPs.

(a) Petition for Interim Suspension; Notice to Answer. Upon learning that an attorney or LP has been convicted in any jurisdiction of an offense that is a misdemeanor that may involve moral turpitude, a felony under the laws of this state, or a crime punishable by death or imprisonment under the laws of the United States and determining that immediate and irreparable harm to the attorney's or LP's clients or the public is likely to result if a suspension of the attorney's or LP's license to practice law is not ordered, Disciplinary Counsel shall petition the Disciplinary Board to suspend the attorney's or LP's license to practice law on an interim basis. The petition shall describe the conviction and explain the basis upon Disciplinary Counsel believes that immediate and irreparable harm to the attorney's or LP's clients or the public is likely to result if a suspension is not ordered. The petition shall include a copy of the documents that show the conviction and may be supported by documents or affidavits. A "conviction" for purposes of this rule shall be considered to have occurred upon entry of a plea of guilty or no contest or upon entry of a finding or verdict of guilty. The notice to answer shall provide that an answer to the petition must be filed with the Disciplinary Board Clerk within fourteen (14) days of service and that, absent the timely filing of an answer with the Disciplinary Board Clerk, the relief sought can be obtained. Disciplinary Counsel shall file the petition with the Disciplinary Board Clerk and shall serve a copy, along with the notice to answer, on the attorney or LP pursuant to BR 1.8.

(b) Answer by Attorney or LP. The attorney or LP shall file an answer to the Bar's petition with the Disciplinary Board Clerk within fourteen (14) days of service. The attorney or LP shall mail a copy of the answer to Disciplinary Counsel and file proof of mailing with the Disciplinary Board Clerk.

(c) Default; Entry of Order. The failure of the attorney or LP to answer the Bar's petition within the time provided in BR 3.4(b) constitutes a waiver of the attorney's or LP's right to contest the Bar's petition, and all factual allegations contained in the petition shall be deemed true. Not earlier than fourteen (14) days after service of the petition and in the absence of an answer filed by the attorney or LP named in the petition, the Adjudicator shall review the sufficiency of the petition. If the petition establishes the attorney's or LP's conviction of a category of offense described in BR 3.4(a) and a reasonable belief that clients or others will

suffer immediate or irreparable harm by the attorney's or LP's continued practice of law, the Adjudicator shall enter an appropriate interim order suspending the attorney's or LP's license to practice law until further order of the Adjudicator or the Supreme Court. The Disciplinary Board Clerk shall send copies of the order to the parties.

(d) Answer filed; Setting hearing on interim suspension. Upon the timely filing of the attorney's or LP's answer pursuant to BR 3.4(b), the Adjudicator shall hold a hearing on the Bar's petition not less than 30 days nor more than 60 days after the date the answer is filed. The Disciplinary Board Clerk shall promptly notify Disciplinary Counsel and the attorney or LP of the date, time, and location of the hearing. The hearing shall take place consistently with BR 5.3(a), (b), (c), and (d). At the hearing, the Bar must prove by clear and convincing evidence that the attorney or LP has been convicted of a category of offense described in BR 3.4(a) and that clients or others will suffer immediate or irreparable harm by the attorney's continued practice of law. Proof that clients or others will suffer immediate or irreparable harm by the attorney's or LP's continued practice of law may include, but is not limited to, establishing that a period of incarceration was imposed on the attorney or LP as a result of the conviction. If the attorney or LP, having been notified of the date, time, and location of the hearing, fails to appear, the Adjudicator may enter an order finding the attorney or LP in default, deeming the allegations contained in the petition to be true, proceed on the basis of that default consistent with BR 3.4(c), and enter an appropriate order.

(e) Order of Adjudicator; Suspension; Restrictions on Trust Account; Notice to Clients; Custodian; Other Orders. The Adjudicator, upon the record pursuant to BR 3.4(c) or after the hearing provided in BR 3.4(d), shall enter an appropriate order. If the Adjudicator grants the Bar's petition and suspends the attorney's license to practice law, the order of suspension shall state an effective date. The suspension shall remain in effect until further order of the Adjudicator or the court. The Adjudicator may enter such other orders as appropriate to protect the interests of the suspended attorney, the suspended attorney's clients, and the public, including, but not limited to:

(1) an order that, when served upon a financial institution, serves as an injunction prohibiting withdrawals from the attorney's trust account or accounts except in accordance with restrictions set forth in the Adjudicator's order.

(2) an order directing the attorney to notify current clients and any affected courts of the attorney's suspension; and to take such steps as are necessary to deliver client property, withdraw from pending matters, and refund any unearned fees.

(3) an order appointing an attorney as custodian to take possession of and inventory the files of the suspended attorney and take such further action as necessary to protect the interests of the suspended attorney's clients. Any attorney so appointed by the Adjudicator shall not disclose any information contained in any file without the consent of the affected client, except as is necessary to carry out the order of the Adjudicator.

The Disciplinary Board Clerk shall send copies of the order to the parties.

(f) Costs and Expenses. The Adjudicator may direct that the costs and expenses associated with any proceeding under this rule be allowed to the prevailing party. The procedure for the recovery of such costs shall be governed by BR 10.7 as practicable.

(g) Duties of Attorney or LP. An attorney or LP suspended from practice under this rule shall comply with the requirements of BR 6.3(a), (b), and (c). An attorney or LP whose suspension under this rule exceeds 6 months must comply with BR 8.1 to be reinstated. An attorney or LP whose suspension under this rule is 6 months or less must comply with RL 11.5 to be reinstated.

(h) Application of Other Rules. Except as specifically provided herein, Title 4, Title 5, and Title 6 of the Rules of Procedure do not apply to proceedings brought pursuant to BR 3.4.

(i) Supreme Court Review. No later than fourteen (14) days of the entry of an order pursuant to BR 3.4(e), Disciplinary Counsel or the attorney or LP who is the subject of an order entered pursuant to BR 3.4(e) may

request the Supreme Court to review the Adjudicator's order, including conducting a *de novo* review on the record, on an expedited basis. Unless otherwise ordered by the court, an interim order of suspension, if entered, shall remain in effect until the court issues its decision.

(j) Independent Charges. Whether or not an interim suspension is sought pursuant to BR 3.4(a), the SPRB may direct Disciplinary Counsel to file a formal complaint against the attorney or LP based upon the fact of the attorney's or LP's conviction or the underlying conduct.

(k) Relief From Suspension. If an attorney's or LP's conviction is reversed on appeal, and such reversal is not subject to further appeal or review, or the attorney or LP has been granted a new trial and the order granting a new trial has become final, any suspension or discipline previously ordered based solely on the conviction shall be vacated upon the Disciplinary Board's receipt of the judgment of reversal or order granting the attorney or LP a new trial. Reversal of the attorney's or LP's conviction on appeal or the granting of a new trial does not require the termination of any disciplinary proceeding based upon the same facts which gave rise to the conviction.

(Rule 3.4(d) amended by Order dated March 13, 1989, effective April 1, 1989.)

(Rule 3.4(e) amended by Order dated February 5, 2001. Amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 3.4(e) amended by Order dated October 19, 2009.)

(Former Rule 3.4(d), 3.4(e), 3.4(g), and 3.4(h) deleted; former Rule 3.4(f) and 3.4(i) redesignated as 3.4(j) and 3.4(k); Rule 3.4(d), 3.4(e), 3.4(f), 3.4(g), 3.4(h), and 3.4(i) added; Rule 3.4(a), 3.4(b), 3.4(c), 3.4(j), and 3.4(k) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 3.4(a) through (e), (g), and (i) through (k) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 3.4(a) through (e) (i), and (j) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 3.5 Reciprocal Discipline.

(a) Petition; Notice to Answer. Upon learning that an attorney or LP has been disciplined for misconduct in another jurisdiction not predicated upon a prior discipline of the attorney or LP pursuant to these rules, Disciplinary Counsel shall file with the Disciplinary Board Clerk a petition seeking reciprocal discipline of the attorney or LP. The petition shall include a copy of the judgment, order, or determination of discipline in the other jurisdiction; may be supported by other documents or affidavits; and shall contain a recommendation as to the imposition of discipline in Oregon, based on the discipline in the jurisdiction whose action is reported, and such other information as the Bar deems appropriate. A plea of no contest, a stipulation for discipline, or a resignation while formal charges are pending is considered a judgment or order of discipline for the purposes of this rule. If the Bar seeks imposition of a sanction greater than that imposed in the other jurisdiction, it shall state with specificity the sanction sought and provide applicable legal authority to support its position. The notice to answer shall provide that an answer to the petition must be filed with the Disciplinary Board Clerk within 21 days of service and that, absent the timely filing of an answer with the Disciplinary Board Clerk, the relief sought can be obtained. Disciplinary Counsel shall file the petition with the Disciplinary Board Clerk and shall serve a copy, along with the notice to answer, on the attorney or LP pursuant to BR 1.8.

(b) Order of Judgment; Sufficient Evidence of Misconduct; Rebuttable Presumption. A copy of the judgment, order, or determination of discipline shall be sufficient evidence for the purposes of this rule that the attorney or LP committed the misconduct on which the other jurisdiction's discipline was based. There is a rebuttable presumption that the sanction to be imposed shall be equivalent, to the extent reasonably practicable, to the sanction imposed in the other jurisdiction.

(c) Answer of Attorney or LP. The attorney or LP has 21 days from service to file with the Disciplinary Board an answer addressing whether:

(1) The procedure in the jurisdiction which disciplined the attorney or LP was so lacking in notice or opportunity to be heard as to constitute a deprivation of due process;

(2) The conduct for which the attorney or LP was disciplined in the other jurisdiction is conduct that

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should subject the attorney or LP to discipline in Oregon; and

(3) The imposition of a sanction equivalent to the sanction imposed in the other jurisdiction would result in grave injustice or be offensive to public policy.

The attorney or LP shall mail a copy of their answer to Disciplinary Counsel and file proof of mailing with the Disciplinary Board Clerk.

(d) Default; Hearing. If no answer is timely filed, the Adjudicator may proceed to the entry of an appropriate judgment based upon review of the record. If an answer is timely filed that asserts a defense pursuant to BR 3.5(c)(1), (2), or (3), the Adjudicator, in their discretion, based upon a review of the petition, answer, and any supporting documents filed by either the Bar or the attorney or LP, may either determine on the basis of the record whether the attorney or LP should be disciplined in Oregon for misconduct in another jurisdiction and if so, in what manner, or may determine that testimony will be taken solely on the issues set forth in the answer pertaining to BR 3.5(c)(1), (2), and (3). The Adjudicator shall enter an appropriate order. The Disciplinary Board Clerk shall send copies of the order to the parties. The Adjudicator's decision shall be subject to review by the Supreme Court, as authorized in Title 10 of these rules. On review by the court, the sanction imposed in the other jurisdiction may be a factor for consideration but does not operate as a rebuttable presumption.

(e) Burden of Proof. The attorney or LP has the burden of proving in any hearing held pursuant to BR 3.5(f) that due process of law was not afforded the attorney in the other jurisdiction.

(f) Hearing by Trial Panel; Review by Supreme Court. If the Adjudicator decides to take testimony pursuant to BR 3.5(e), the Adjudicator shall request the regional chairperson to appoint an attorney member and a public member to serve on the trial panel. Upon receiving notice from the Disciplinary Board Clerk of a regional chairperson's appointment of an attorney member and a public member pursuant to BR 2.4, and upon determining that either no timely challenge pursuant to BR 2.4(h) was filed or that a timely filed challenge pursuant to BR 2.4(h) has either been denied or resulted in the appointment of a substitute member or members, the Adjudicator shall promptly establish the date and place of the evidentiary hearing no less than 21 days and no more than 42 days thereafter. BR 5.1 and BR 5.3 apply to the evidentiary hearing. The trial panel shall make a decision concerning the issues submitted to it. The Disciplinary Board Clerk shall send copies of the order to the parties. The trial panel's decision shall be subject to review by the Supreme Court as authorized in Title 10 of these rules. On review by the court, the sanction imposed in the other jurisdiction may be a factor for consideration but does not operate as a rebuttable presumption.

(g) Application of Other Rules. Except as specifically provided herein, Title 4, Title 5, and Title 6 of the Rules of Procedure do not apply to proceedings brought pursuant to BR 3.5.

(h) Suspension or Disbarment. An attorney or LP suspended or disbarred under this rule shall comply with the requirements of BR 6.3(a), (b), and (c).

(i) Reinstatement Rules Apply. The rules on reinstatement apply to attorneys or LPs suspended or disbarred pursuant to the procedure set forth in BR 3.5(d), (e), and (f).

(j) Independent Charges. Nothing in this rule precludes the Bar from filing a formal complaint against an attorney or LP for misconduct in any jurisdiction.

(Rule 3.5 amended by Order dated July 16, 1984, effective August 1, 1984.)

(Rule 3.5(h) amended by Order dated March 13, 1989, effective April 1, 1989.)

(Rule 3.5(e) amended by Order dated February 5, 2001. Amended by Order dated June 17, 2003, effective July 1, 2003.) (Former Rule 3.5(d) deleted; former Rule 3.5(e), 3.5(f), and 3.5(g) redesignated 3.5(d), 3.5(e), and 3.5(f); Rule 3.5(c)(3) and 3.5(g) added; Rule 3.5(a), 3.5(b), 3.5(c), 3.5(c)(1), 3.5(c)(2), 3.5(d), 3.5(e), 3.5(f), 3.5(h), 3.5(i), and 3.5(j) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 3.5(e) amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 3.5(a) through (e), and (h) through (j) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 3.5(c), (d), (f), amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 3.6 Discipline By Consent.

(a) Application. Any allegation of misconduct that is neither dismissed nor disposed of pursuant to BR 2.10 may be disposed of by a no contest plea, or by a stipulation for discipline, entered into at any time after the SPRB finds probable cause that misconduct has occurred.

(b) No Contest Plea. A plea of no contest to all causes or any cause of a formal complaint, or to allegations of misconduct if a formal complaint has not been filed, shall be verified by the respondent and shall include:

- (1) A statement that the respondent freely and voluntarily make the plea;
- (2) A statement that the respondent does not desire to defend against the formal complaint or any designated cause thereof, or against an allegation of misconduct not yet pled;
- (3) A statement that the respondent agrees to accept a designated form of discipline in exchange for the no contest plea; and
- (4) A statement of the respondent's prior record of reprimand, suspension or disbarment, or absence of such record.

(c) Stipulation for Discipline. A stipulation for discipline shall be verified by the respondent and shall include:

- (1) A statement that the respondent has freely and voluntarily entered into the stipulation;
- (2) A statement that explains the particular facts and violations to which the Bar and the respondent are stipulating;
- (3) A statement that the respondent agrees to accept a designated form of discipline in exchange for the stipulation; and
- (4) A statement of the respondent's prior record of reprimand, suspension or disbarment, or absence of such record.

(d) Approval of SPRB. Pleas of no contest and stipulations shall be approved as to form by Disciplinary Counsel and approved in substance by the chairperson of the SPRB or a member of the SPRB designated by the chairperson. If the plea or stipulation is acceptable to the respondent and the SPRB chairperson or designated member, and if the full term of the discipline agreed upon does not exceed a 6-month suspension, Disciplinary Counsel shall submit it to the Disciplinary Board Clerk for review by the Adjudicator, acting on behalf of the Disciplinary Board. Otherwise, Disciplinary Counsel shall file the stipulation with the State Court Administrator for review by the Supreme Court.

(e) Review by Adjudicator or Supreme Court. The Adjudicator or the court, as the case may be, shall review the plea or stipulation. If the Adjudicator approves the plea or stipulation, an order shall be issued so stating and filed with the Disciplinary Board Clerk, and the Clerk shall provide copies to Disciplinary Counsel and the respondent. If the court approves the plea or stipulation, an order shall be issued so stating. If the plea or stipulation is rejected by the Adjudicator or the court, it may not be used as evidence of misconduct against the respondent in the pending or in any subsequent disciplinary proceeding.

(f) Costs. In matters submitted under this rule that are resolved by a decision of the Disciplinary Board, the Bar may file a cost bill with the Disciplinary Board Clerk within 21 days of the filing of the decision of the Disciplinary Board. The Bar must serve a copy of the cost bill on the respondent pursuant to BR 1.8. To contest the Bar's statement of costs, the respondent must file an objection supported by a declaration under penalty of perjury with the Disciplinary Board Clerk within 7 days from the date of service. The respondent shall mail a copy of the objection to Disciplinary Counsel and file proof of mailing with the Disciplinary Board Clerk. If the matter is resolved by a decision of the court, the Bar's cost bill and the respondent's objections must be filed

with the court within the same time period, accompanied by proof of service on the other party. The Adjudicator or the court, as the case may be, may fix the amount of the Bar's actual and necessary costs and disbursements incurred in the proceeding to be paid by the respondent.

(g) Supplementing Record. If the Adjudicator or the court concludes that facts are not set forth in sufficient detail to enable forming an opinion as to the propriety of the discipline agreed upon, the Adjudicator or the court may request that additional stipulated facts be submitted or may disapprove the plea or stipulation.

(h) Confidentiality. A plea or stipulation prepared for the Adjudicator or the court's consideration shall not be subject to public disclosure or used as evidence in a disciplinary proceeding:

- (1) prior to Adjudicator or court approval of the plea or stipulation; or
- (2) if rejected by the Adjudicator or court.

(Rule 3.6(d) and (e) amended by Order dated February 23, 1988.)

(Rule 3.6(d) amended by Order dated December 13, 1993. Amended by Order dated June 5, 1997, effective July 1, 1997.)

(Rule 3.6(a), (b), (d) and (e) amended by Order dated February 5, 2001.)

(Rule 3.6(d), (e) and (f) amended by Order dated June 17, 2003, effective July 1, 2003.)

(Former Rule 3.6(b)(i), 3.6(b)(ii), 3.6(b)(iii), 3.6(b)(iv), 3.6(c)(i), 3.6(c)(ii), 3.6(c)(iii), 3.6(c)(iv), and 3.6(h) redesignated as Rule 3.6(b)(1), 3.6(b)(2), 3.6(b)(3), 3.6(b)(4), 3.6(c)(1), 3.6(c)(2), 3.6(c)(3), 3.6(c)(4), 3.6(h)(1), and 3.6(h)(2); Rule 3.6(a), 3.6(b), 3.6(b)(1), 3.6(b)(2), 3.6(b)(3), 3.6(b)(4), 3.6(c), 3.6(c)(1), 3.6(c)(2), 3.6(c)(3), 3.6(c)(4), 3.6(d), 3.6(e), 3.6(f), 3.6(g), 3.6(h), 3.6(h)(1), and 3.6(h)(2) amended by Order dated May 3, 2017, effective January 1, 2018.)

Title 4 — Prehearing Procedure

Rule 4.1 Formal Complaint.

(a) Designation of Counsel and Region. If the SPRB determines that probable cause exists to believe an attorney or LP has engaged in misconduct and that formal proceedings are warranted, it shall refer the matter to Disciplinary Counsel with instructions to file a formal complaint against the attorney or LP, who then becomes the respondent. Disciplinary Counsel, being so advised, may appoint Bar Counsel.

(b) Filing. Disciplinary Counsel shall prepare and file with the Disciplinary Board Clerk a formal complaint against the respondent on behalf of the Bar. The formal complaint shall be in substantially the form set forth in BR 13.1.

(c) Substance of Formal Complaint. A formal complaint shall be signed by Disciplinary Counsel, or their designee, and shall set forth succinctly the acts or omissions of the respondent, including the specific statutes or rules of professional conduct violated, so as to enable the respondent to know the nature of the charge or charges against the respondent. When more than one act or transaction is relied upon, the allegations shall be separately stated and numbered. The formal complaint need not be verified.

(d) Amendment of Formal Complaint. Disciplinary Counsel may amend the formal complaint on behalf of the Bar subject to the requirements of BR 4.4(b) as to any grievance the SPRB has instructed Disciplinary Counsel to file a formal complaint pursuant to BR 4.1(a) and BR 4.1(e).

(e) Consolidation of Charges and Proceedings. The Bar, at the SPRB's direction, may consolidate in a formal complaint two or more causes of complaint against the same attorney or LP or attorneys or LPs, but shall file a separate formal complaint against each respondent. The findings and conclusions thereon may be either joint or separate, as the trial panel, in its discretion, may determine. The Bar, at the discretion of the SPRB, may also consolidate formal complaints against two or more attorneys or LPs for hearing before one trial panel.

(f) Appointment of Trial Panel. Within 30 days following respondent's timely filing of an answer pursuant to BR 4.3, Disciplinary Counsel shall file a request with the Disciplinary Board Clerk that the regional chairperson appoint an attorney and a public member to serve on the trial panel with the Adjudicator.

(Rule 4.1(a) amended by Order dated January 5, 1988. Amended by Order dated June 5, 1997, effective July 1, 1997.)
(Rule 4.1(b) amended by Order dated February 23, 1988.)
(Rule 4.1(a) and (c) amended by Order dated February 5, 2001.)
(Rule 4.1(b) amended by Order dated June 17, 2003, effective July 1, 2003.)
(Former Rule 4.1(d) redesignated as Rule 4.1(e); Rule 4.1(a), 4.1(b), 4.1(c) and 4.1(e) amended; Rule 4.1(d) and 4.1(f) added by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 4.1(a), (e), and (f) amended by Order dated August 17, 2022, effective July 1, 2023.)
(Rule 4.1(c) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 4.2 Service of Formal Complaint.

(a) Manner of Service of Formal Complaint. A copy of the formal complaint, accompanied by a notice to file an answer within fourteen (14) days, may be personally served on the respondent or as otherwise permitted by BR 1.12. The notice to answer shall be in substantially the form set forth in BR 13.2.

(b) Alternative Service of Formal Complaint. The Bar may request the Adjudicator to authorize the service of a formal complaint and notice to answer on the respondent pursuant to ORCP 7 D(6).

(c) Proof of Service of Complaint. Proof of personal service shall be made in the same manner as in a case pending in a circuit court.

(d) Service of Amended Formal Complaint. An amended formal complaint may be served by mail, provided the original formal complaint was served on the respondent in the manner provided by BR 4.2(a) or (b).

(e) Disregard of Error. Failure to comply with any provision of this rule or BR 1.12 shall not affect the validity of service if the respondent received actual notice of the substance and pendency of the disciplinary proceedings.

(Rule 4.2 amended by Order dated June 30, 1987.)
(Rule 4.2(d) added by Order dated February 5, 2001.)
(Rule 4.2(a) amended by Order dated April 26, 2007.)
(Rule 4.2(a), 4.2(b), 4.2(d), and 4.2(e) amended by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 4.2 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 4.3 Answer.

(a) Time to Answer. The respondent shall answer the formal complaint within fourteen (14) days of service of the formal complaint.

(b) Extensions. The respondent may, in writing, request an extension of time to file their answer from the Adjudicator. The request for extension must be received by the Adjudicator within the time the respondent is required to file an answer. The Adjudicator shall respond to the request in writing and shall file a copy of the response with the Disciplinary Board Clerk. Alternatively, if Respondent and Disciplinary Counsel stipulate to one or more extensions of time, such extension is deemed granted by the Adjudicator upon submission of the stipulation to the Disciplinary Board Clerk, unless the Adjudicator files a response within two (2) days.

(c) Form of Answer. The respondent's answer shall be responsive to the formal complaint filed. General denials are not allowed. The answer shall be substantially in the form set forth in BR 13.3 and shall be supported by a declaration under penalty of perjury by the respondent. The original shall be filed with the Disciplinary Board Clerk with proof of service on Disciplinary Counsel.

(Rule 4.3(b) and (c) amended by Order dated February 5, 2001.)
(Rule 4.3(b) and (d) amended by Order dated June 17, 2003, effective July 1, 2003.)
(Former Rule 4.3(c) deleted; former Rule 4.3(d) redesignated as Rule 4.3(c); Rule 4.3(a), 4.3(b), and 4.3(c) amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 4.4 Pleadings, Amendments, and Motions.

(a) Pleadings. The only permissible pleadings shall be a formal complaint and an answer, and amendments thereto. The Adjudicator may request additional pleadings from parties if deemed necessary.

(b) Amendments.

(1) Disciplinary Counsel may amend a formal complaint at any time after filing, subject to any limitation that may be imposed by the Adjudicator as to timing or content in any prehearing order entered pursuant to BR 4.7, in amplification of the original charges, to add new charges, or to withdraw charges. If an amendment is made, the respondent shall file an answer to the amended formal complaint within fourteen (14) days of service. Upon request by respondent for good cause shown, the Adjudicator may give the respondent a reasonable time to procure evidence and to prepare to meet the matters raised by the amended formal complaint.

(2) The respondent may amend an answer at any time after filing, subject to any limitations that may be imposed by the Adjudicator as to timing or content in any prehearing order entered pursuant to BR 4.7. If an answer is amended, the Bar shall be given a reasonable time, set by the Adjudicator, to procure evidence and to prepare to meet the matters raised by the amended answer.

(c) Motions.

(1) An application for an order from the Adjudicator shall be submitted as a motion. Every motion, unless made during the trial, shall state with particularity the reason for the motion and the relief or order sought.

(2) Parties shall not submit motions seeking to dismiss a formal complaint, motion for judgment on the pleadings, motion to make more definite and certain, and motion seeking summary judgment.

(3) All motions, and any responses, shall be filed with the Disciplinary Board Clerk with proof of service on the other Party. Upon expiration of the time for response, the Adjudicator shall promptly rule on the motion. The Adjudicator shall file rulings on motions with the Disciplinary Board Clerk, and the Clerk shall mail or email copies to the parties.

(4) Oral Argument. The Adjudicator shall decide whether to hear oral argument on motions. Oral argument on any motion may be conducted in person, or by conference telephone/video call.

(5) If a party objects to a nondiscovery motion, the opposing party may submit a written opposition within fourteen (14) days of service of the motion unless the Adjudicator shortens the time for good cause shown. Opposing parties must submit a written opposition to discovery motions within seven (7) days of service of the motion.

(6) No reply is allowed unless ordered by the Adjudicator.

(7) If the formal complaint is not substantially in the form set forth in BR 13.1 as required by BR 4.1(b), or the answer is not substantially in the form set forth in BR 13.3 as required by BR 4.3(c), the opposing party may move for an order requiring the filing party to amend the formal complaint or answer to comply with the applicable rule.

(8) Discovery motions, including motions for limitation of discovery, shall be in writing and shall state "Discovery Motion" in the caption.

(9) Unopposed motions shall include "unopposed" in the caption heading. Stipulated motions shall include "stipulated" in the caption heading.

(10) Motions seeking immediate action or expedited relief shall state in the caption: "Expedited Consideration Requested." If the Adjudicator grants expedited consideration, the Adjudicator shall set an

expedited time for filing written opposition to the motion and notify all parties.

(d) Adjudicator Authority. Upon application of either the Bar or the respondent, the Adjudicator may extend or shorten the time for filing any pleading, motion, or any document required or permitted to be submitted, except as otherwise provided in these rules.

(Rule 4.4(b) amended by Order dated February 5, 2001.)

(Rule 4.4(b)(1) and 4.4(b)(2) amended; Rule 4.4(c) added by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 4.4(a) and 4.4(b)(1) amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 4.4 (a), (b) amended; 4.4(c) added, and former 4.4(c) redesignated and amended to 4.4(d) by Order dated December 26, 2023, effective January 1, 2024.)

Rule 4.5 Discovery.

(a) General. Discovery shall be conducted expeditiously by the parties, and shall be completed within fourteen (14) days prior to the date of hearing, unless the Adjudicator extends the time either by stipulated motion, or for good cause shown.

(b) Permitted Discovery.

(1) Requests for admission, requests for production of documents, and depositions may be utilized in disciplinary proceedings.

(2) The manner of taking depositions shall conform as nearly as practicable to the procedure set forth in the Oregon Rules of Civil Procedure. Subpoenas may be issued when necessary by the Adjudicator, Bar Counsel, Disciplinary Counsel, the respondent or their attorney of record. Depositions may be taken any time after service of the formal complaint.

(3) Transcripts of depositions in disciplinary proceedings shall comply with the Oregon Rules of Appellate Procedure as to form. A person who is deposed may request at the time of deposition to examine the person's transcribed testimony. In such case, the procedure set forth in the Oregon Rules of Civil Procedure shall be followed as practicable.

(4) The manner of making requests for the production of documents shall conform as nearly as practicable to the procedure set forth in the Oregon Rules of Civil Procedure. Requests for production may be served any time after service of the formal complaint with responses due within 21 days.

(5) The manner of making requests for admission shall conform as nearly as practicable to the procedure set forth in the Oregon Rules of Civil Procedure. Requests for admission may be served any time after service of the formal complaint with responses due within 21 days.

(c) Discovery Procedure. The Adjudicator shall resolve all discovery questions.

(d) Limitations on Discovery. In the exercise of their discretion, the Adjudicator shall impose such terms or limitations on the exercise of discovery as may appear necessary to prevent undue delay or expense in bringing the matter to hearing and to promote the interests of justice.

(e) Discovery Sanctions. For failure to provide discovery as required under BR 4.5, the Adjudicator may make such rulings as are just, including, but not limited to, the following:

(1) A ruling that the matters regarding which the ruling was made or any other designated fact are taken to be established for the purposes of the proceeding in accordance with the claim of the party obtaining the ruling; or

(2) A ruling refusing to allow the disobedient party to support or oppose designated claims or defenses, or prohibiting the disobedient party from introducing designated matters in evidence.

Any witness who testifies falsely, fails to appear when subpoenaed, or fails to produce any documents pursuant to subpoena is subject to the same orders and penalties to which a witness before a circuit court is

subject. Subpoenas issued pursuant to this rule may be enforced by application of the Bar or the respondent to any circuit court. The circuit court shall determine what sanction to impose, if any, for noncompliance.

(f) Rulings Interlocutory. Discovery rulings are interlocutory.

(Rule 4.5(c) amended by Order dated February 23, 1988. Rule 4.5(b) amended by Order April 4, 1991, effective April 15, 1991.)

(Rule 4.5(a) and (c) amended by Order dated February 5, 2001.)

(Rule 4.5(c) amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 4.5(a), 4.5(b)(2), 4.5(b)(3), 4.5(c), 4.5(d), 4.5(e), 4.5(e)(1), and 4.5(e)(2) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 4.5(a) through (d) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 4.6 Prehearing Issue Narrowing and Settlement Conference; Order.

(a) Within 28 days of written notice that the Adjudicator has set the date and place of the trial panel hearing pursuant to BR 2.4(f)(8), either party may file with the Disciplinary Board Clerk a request for a single prehearing issue narrowing and settlement conference pursuant to this rule. Upon notification from the Disciplinary Board Clerk that a timely request for a BR 4.6 conference has been filed, the Adjudicator shall appoint a member of the Disciplinary Board to serve as the presiding member and conduct the BR 4.6 conference. A conference shall be held no later than 21 days before the scheduled hearing date and shall not exceed one business day in length. The respondent, counsel for the respondent, if any, and Disciplinary Counsel must attend. The purpose of the conference is to narrow factual and legal issues in dispute for trial and to facilitate discussion regarding discipline by consent under BR 3.6, if appropriate. Except for those facts admitted and denied in the prehearing order, under BR 4.7, no oral or written statements or admissions made at or in connection with the prehearing conference shall be admitted as evidence in this or any subsequent Bar disciplinary proceeding. No member of the trial panel appointed in the proceeding shall conduct or participate in the prehearing conference.

(b) At the conclusion of the BR 4.6 conference, the presiding member shall enter an order setting forth agreed and disputed facts and elements of the violations alleged. In the absence of any agreement, the presiding member shall enter an order indicating that the BR 4.6 conference was held and that no agreements resulted. The presiding member shall file the order with the Disciplinary Board Clerk, with copies sent by the Disciplinary Board Clerk to the parties. Agreed facts shall be deemed admitted and need not be proven at the hearing before the trial panel.

(Rule 4.6 added by Order dated December 13, 1993.)

(Rule 4.6 amended by Order dated November 6, 1995. amended by Order dated June 17, 2003, effective July 1, 2003.)

(Former Rule 4.6 redesignated Rule 4.6(a); Rule 4.6(a) amended; and Rule 4.6(b) added by Order dated May 3, 2017, effective January 1, 2018.)

Rule 4.7 Pre-hearing Orders.

(a) At any time after the filing of a formal complaint, the Adjudicator may schedule and convene a prehearing conference that may be conducted by telephone, videoconference, or in person and shall be attended by the respondent, respondent's counsel, if any, and Disciplinary Counsel, upon notice sent by the Disciplinary Board Clerk not less than fourteen (14) days prior to the scheduled date and time, unless the time is shortened by the Adjudicator. Such prehearing conferences are intended to facilitate the efficient conduct of the proceeding and may include discussing the parties' respective estimates of time necessary to present evidence, the availability and scheduling of witnesses, and the preparation of trial exhibits; and the scheduling of pleading amendment and discovery deadlines.

(b) At the conclusion of a prehearing conference, the Adjudicator shall enter an order setting forth all matters discussed and addressed, including any deadlines imposed. The Adjudicator shall file the order with the Disciplinary Board Clerk, and the Disciplinary Board Clerk shall send copies to the parties.

(Rule 4.7 added by Order dated December 13, 1993.)

(Rule 4.7 amended by Order dated November 6, 1995. Amended by Order dated June 17, 2003, effective July 1, 2003.)

(Former Rule 4.7 redesignated as Rule 4.7(b); Rule 4.7(a) added; and Rule 4.7(b) amended by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 4.7(a) amended by Order dated May 22, 2019, effective September 1, 2019.)
(Rule 4.7(a) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 4.8 Trial Briefs.

Trial Briefs, if any, shall be filed with the Disciplinary Board Clerk with copies served on the trial panel no later than seven (7) days prior to the hearing. Where new or additional issues have arisen, the Adjudicator may grant seven (7) days additional time for the filing of trial briefs on those issues.

(Rule 4.8 (former Rule 2.4(i)(2)) amended by Order dated February 5, 2001. Amended by Order dated June 17, 2003, effective July 1, 2003.)
(Rule 4.8 amended by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 4.8 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 4.9 Mediation

(a) Mediation. The parties may employ the services of a mediator, other than a member of the trial panel, or if a trial panel is not yet appointed, a member of the Disciplinary Board, to determine the potential for, and to assist the parties in negotiating a settlement of issues in dispute. Mediation is voluntary; both parties must agree to participate in the mediation. The SPRB shall decide for the Bar whether to mediate.

(b) Time of Mediation. Mediation may occur at any time, provided that the mediation shall not delay a hearing before a trial panel scheduled in accordance with BR 5.4. After a trial panel issues a written opinion in the proceeding pursuant to BR 2.4(i)(2), mediation may occur only if authorized by the Adjudicator.

(c) Discipline by Consent. A stipulation for discipline or no contest plea negotiated through mediation is subject to approval by the SPRB, and the Disciplinary Board or the Supreme Court, as the case may be, as set forth in BR 3.6, before it is effective.

(d) Costs. The expense of mediation shall be shared equally by the parties unless the parties agree otherwise.

(e) Confidentiality. Mediation communications, as defined in ORS 36.110, are confidential and may not be disclosed or admitted as evidence in subsequent adjudicatory proceedings, except as provided by ORS 36.226.

(Rule 4.9 added by Order dated June 17, 2003, effective July 1, 2003.)
(Rule 4.9(a) and (e) amended by Order dated April 26, 2007.)
(Rule 4.9(a), 4.9(b) and 4.9(d) amended by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 4.9(a), (b) amended by Order dated December 26, 2023, effective January 1, 2024.)

Title 5 — Disciplinary Hearing Procedure

Rule 5.1 Evidence And Procedure.

(a) Rules of Evidence. Trial panels may admit and give effect to evidence that possesses probative value commonly accepted by reasonably prudent persons in the conduct of their affairs. Incompetent, irrelevant, immaterial, and unduly repetitious evidence should be excluded at any hearing conducted pursuant to these rules.

(b) Harmless Error. No error in procedure, in admitting or excluding evidence, or in ruling on evidentiary or discovery questions shall invalidate a finding or decision unless upon a review of the record as a whole, a determination is made that a denial of a fair hearing to either the Bar or the respondent has occurred.

(Rule 5.1(a) amended by Order dated February 23, 1988.)
(Rule 5.1(a) and 5.1(b) amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 5.2 Burden of Proof.

The Bar has the burden of establishing misconduct by clear and convincing evidence.

(Rule 5.2 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Title of Rule 5.2 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 5.3 Location of Hearing; Subpoenas; Testimony.

(a) Location. For respondents that maintain an office or residence in Oregon, the trial panel hearing of any Disciplinary Proceeding shall be held either in the county in which the respondent maintains their office for the practice of law or other business, in which they reside, or in which the misconduct is alleged to have occurred, at the Adjudicator's discretion. For any proceeding brought pursuant to these rules other than Title 4 in which the attorney or LP the subject of the proceeding maintains an office or residence in Oregon, and for any proceeding brought pursuant to these rules in which the attorney or LP the subject of the proceeding does not maintain an office or residence in Oregon, the Adjudicator shall designate a location for the hearing. With the respondent's consent, the hearing may be held elsewhere.

(b) Subpoenas. The Chief Executive Officer, the Adjudicator, or regional chairpersons of the Disciplinary Board, Bar Counsel, Disciplinary Counsel and the attorney for the respondent, or the respondent, if appearing without an attorney, shall have the authority to issue subpoenas. Subpoenas shall be issued and served in accordance with the Oregon Rules of Civil Procedure in the same manner as in a case pending in a circuit court. Any witness who testifies falsely, fails to appear when subpoenaed, or fails to produce any documents pursuant to subpoena, is subject to the same orders and penalties to which a witness before a circuit court is subject. Subpoenas issued pursuant this rule may be enforced by application of either party or the Adjudicator to any circuit court. The circuit court shall determine what sanction to impose, if any, for noncompliance.

(c) Board Members as Witnesses. Current members of the Board of Governors shall not testify as witnesses in any Bar admission, discipline or reinstatement proceeding except pursuant to subpoena.

(d) Testimony. Witnesses shall testify under oath or affirmation administered by any member of the Disciplinary Board or by any person authorized by law to administer an oath.

(e) Transcript of Proceedings; Correction of Errors; Settlement Order. Every disciplinary hearing shall be transcribed and shall comply with the Oregon Rules of Appellate Procedure as to form. The transcription shall be certified by the person preparing it. The reporter shall give written notice to Disciplinary Counsel, Bar Counsel, and the respondent of the filing of the transcripts with the Disciplinary Board Clerk, who shall provide copies to the Adjudicator. Within fourteen (14) days after the transcript is filed, the Bar or the respondent may move the Adjudicator for an order to correct any errors appearing in the transcript, by filing a motion with the Disciplinary Board Clerk and serving the other party. Within 7 days the Bar or the respondent, as the case may be, may file a response to the motion with the Disciplinary Board Clerk, serving a copy on the other party. The Adjudicator shall thereafter either deny the motion or direct the making of such corrections as may be appropriate. Upon the denial of the motion or the making of such corrections, the Adjudicator shall file with the Disciplinary Board Clerk an order settling the transcript and the Disciplinary Board clerk shall send copies to the parties.

(Rule 5.3(b) amended by Order dated April 4, 1991, effective April 15, 1991.)

(Rule 5.3(a) amended by Order dated July 22, 1991.)

(Rule 5.3(c), (d), and (e) amended by Order dated June 5, 1997, effective July 1, 1997.)

(Rule 5.3(a) and (e) amended by Order dated February 5, 2001.)

(Rule 5.3(e) amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 5.3(a) amended by Order dated April 26, 2007.)

(Rule 5.3(a), 5.3(b), and 5.3(e) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 5.3(a) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 5.3(a), (b), and (e) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 5.4 Hearing Date; Continuances.

Except in matters of default pursuant to BR 5.8, the Adjudicator shall establish the hearing date, which shall not be less than 91 days nor more than 182 days following the date the Adjudicator notifies the parties of the date and time for hearing pursuant to BR 2.4(f)(8). The Adjudicator may grant continuances of the hearing date at any time prior to the hearing, or upon a showing of compelling necessity therefor, the trial panel may grant continuances at the time of the hearing. In no event shall continuances exceed 56 days in the aggregate.

(Rule 5.4 amended by Order dated October 10, 1994.)

(Rule 5.4 amended by Order dated February 5, 2001.)

(Rule 5.4 amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 5.5 Prior Record.

(a) Defined. "Prior record" means any contested admission, disciplinary or reinstatement decision of the Disciplinary Board or the Supreme Court that has become final.

(b) Restrictions on Admissibility. At the fact-finding hearing in a disciplinary proceeding, a respondent's prior record or lack thereof shall not be admissible to prove the character of a respondent or to impeach their credibility.

(Rule 5.5(a-b) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 5.5(b) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 5.6 Evidence of Prior Acts of Misconduct.

Evidence of prior acts of misconduct on the part of a respondent is admissible in a disciplinary proceeding for such purposes as proof of motive, opportunity, intent, preparation, plan, knowledge, identity, or absence of mistake or accident.

(Rule 5.6 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Title of Rule 5.6 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 5.7 Consideration of Sanctions.

Trial panels may receive evidence relating to the imposition of a sanction during a hearing, but are not to consider that evidence until after a determination is made that the respondent is in violation of a rule of professional conduct or statute. Only when the Adjudicator considers it appropriate because of the complexity of the case or the seriousness of the charge or charges, the trial panel may be reconvened to consider evidence in aggravation or mitigation of the misconduct found to have occurred.

(Rule 5.7 amended by Order dated February 23, 1988.)

(Rule 5.7 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Title of Rule 5.7 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 5.8 Default.

(a) Failure to Answer or Appear. If a respondent fails to resign or file an answer to a formal complaint within the time allowed by these rules, or if a respondent fails to appear at a hearing set pursuant to BR 2.4(f)(8), the Adjudicator may file with the Disciplinary Board Clerk an order finding the respondent in default under this rule and, if so, shall request the regional chairperson to appoint an attorney member and a public member to serve on the trial panel unless a panel has already been appointed. The Disciplinary Board Clerk shall send copies of the order of default to the parties. The trial panel shall thereafter deem the allegations in the formal complaint to be true and either issue its written opinion based on the formal complaint, or, in its sole discretion, after considering evidence or legal authority limited to the issue of sanction. Following entry of an order of default, the respondent is not entitled to further notice in the disciplinary proceeding under consideration, except as may be required by these rules or by statute. The trial panel shall not, absent good cause, continue or delay proceedings due to a respondent's failure to answer or appear.

(b) **Setting Aside Default.** At any time prior to a trial panel's issuing its written opinion, the trial panel may set aside an order of default upon a showing by the respondent that the respondent's failure to resign, answer, or appear timely was the result of mistake, inadvertence, surprise, or excusable neglect. If a trial panel has issued its opinion, a respondent must file any motion to set aside an order of default with the Supreme Court.

(Rule 5.8 amended by Order dated June 29, 1993.)

(Rule 5.8(a) amended by Order dated February 5, 2001. Amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 5.8(a) amended by Order dated October 19, 2009.)

(Rule 5.8(a) and 5.8(b) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 5.8(a) amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 5.8(a) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 5.9 Attorney Assistance Evidence.

(a) **Definition.** For the purposes of this rule, an "attorney assistance program" is any treatment, counseling, training or remedial service, created under ORS 9.568 or otherwise, designed to provide assistance to attorneys or LPs who are suffering from impairment or other circumstances which may adversely affect their professional competence or conduct, or to provide advice and training to attorneys or LPs in practice management.

(b) **Use of Evidence by Respondent.** Subject to the provisions of BR 5.1(a) and this rule, the respondent may offer evidence at a disciplinary hearing concerning the respondent's participation in or communication with an attorney assistance program. If the respondent fails to provide timely notice to Disciplinary Counsel as required under BR 5.9(c), the respondent may not offer evidence of the respondent's participation in or communication with an attorney assistance program at the hearing.

(c) **Prior Notice.** If the respondent intends to offer evidence at a hearing concerning the respondent's participation in or communication with an attorney assistance program, the respondent shall file with the Disciplinary Board Clerk, with proof of service on Disciplinary Counsel, written notice of such intent, not less than 63 days prior to the date the hearing is scheduled to commence. For good cause shown, the Adjudicator may permit the respondent to give the notice within a shorter period of time. The notice shall specify the identity of the attorney assistance program, the nature of the evidence that will be offered, the names of the service providers with whom the respondent dealt, and the names and addresses of witnesses the respondent intends to call to present the evidence. The notice shall also include the consent or waiver required by BR 5.9(d). The respondent shall provide a copy of the notice to the attorney assistance program.

(d) **Discovery.** In the event the respondent provides a notice to Disciplinary Counsel under BR 5.9(c), Disciplinary Counsel may conduct discovery concerning the respondent's participation in or communication with the attorney assistance program. The respondent shall provide any consent or waiver necessary to permit Disciplinary Counsel to obtain discovery from the attorney assistance program or its service providers at the time the respondent provides the notice required by BR 5.9(c). Questions regarding the permissible scope of discovery under this rule shall be resolved by the Adjudicator on motion pursuant to BR 4.5(c).

(e) **Discovery not Public.** Records and information obtained by Disciplinary Counsel through discovery under this rule are not be subject to public disclosure pursuant to BR 1.7(b), consistent with ORS 9.568(3), and may be disclosed by the parties only in the disciplinary proceeding.

(f) **Use of Evidence by Bar.** The Bar shall have the right to introduce evidence obtained through discovery under this rule only if the respondent introduces evidence of participation in or communication with an attorney assistance program.

(g) **Enforcement.** The Adjudicator may issue a protective order and impose sanctions to enforce this rule pursuant to BR 4.5(d) and (e).

(Rule 5.9 added by Order dated November 30, 1999.)

(Rule 5.9(a) amended by Order dated February 5, 2001.)

(Rule 5.9(c) amended by Order dated June 17, 200, effective July 1, 2003.)

(Rule 5.9(b), 5.9(c), 5.9(d), 5.9(e), 5.9(f), and 5.9(g) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 5.9(a) amended by Order dated August 17, 2022, effective July 1, 2023.)

Title 6 — Sanctions And Other Remedies

Rule 6.1 Sanctions.

(a) Disciplinary Proceedings. The dispositions or sanctions in disciplinary proceedings or matters brought pursuant to BR 3.4 or 3.5 are

- (1) dismissal of any charge or all charges;
- (2) public reprimand;
- (3) suspension for periods from 30 days to five years;
- (4) a suspension for any period designated in BR 6.1(a)(3) which may be stayed in whole or in part on the condition that designated probationary terms are met; or
- (5) disbarment.

In conjunction with a disposition or sanction referred to in this rule, a respondent may be required to make restitution of some or all of the money, property, or fees received by the respondent in the representation of a client, or reimbursement to the Client Security Fund.

(b) Effect of Disbarment. An attorney disbarred as a result of a disciplinary proceeding commenced by formal complaint before January 1, 1996, may not apply for reinstatement until five years have elapsed from the effective date of their disbarment. An attorney or LP disbarred as a result of a disciplinary proceeding commenced by formal complaint after December 31, 1995, shall never be eligible to apply and shall not be considered for admission under ORS 9.220 or reinstatement.

(Rule 6.1(a) amended by Order dated May 31, 1984, effective July 1, 1984. Rule 6.1(d) amended by Order dated November 29, 1985, effective December 1, 1985. Rule 6.1(a) amended by Order dated December 14, 1995. Rule 6.1(d) amended by Order dated December 14, 1995. Rule 6.1(e) added by Order dated December 14, 1995. Rule 6.1(a) amended by Order dated June 5, 1997, effective July 1, 1997.)

(Rule 6.1(a) amended by Order dated February 5, 2001.)

(Rule 6.1(a)(iii) – 6.1(a)(v) and 6.1(b) – 6.1(d) amended by Order dated October 19, 2009.)

(Former Rule 6.1(a)(i), 6.1(a)(ii), 6.1(a)(iii), 6.1(a)(iv), 6.1(a)(v), 6.1(b)(i), 6.1(b)(ii), and 6.1(b)(iii) redesignated Rule 6.1(a)(1), 6.1(a)(2), 6.1(a)(3), 6.1(a)(4), 6.1(a)(5), 6.1(b)(1), 6.1(b)(2), and 6.1(b)(3); Rule 6.1(a), 6.1(a)(4), 6.1(c), and 6.1(d) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 6.2(d) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 6.2(b) and (c) deleted and former Rule 6.2(d) redesignated to (b) by Order dated December 26, 2023, effective January 1, 2024.)

Rule 6.2 Probation.

(a) Authority in Disciplinary Proceedings. In cases of stipulated discipline where a suspension of three years or less is imposed, the execution of the suspension may be stayed, in whole or in part, and the respondent may be placed on probation for a period no longer than three years. Probation, if ordered, may be under such conditions as the parties agree to as appropriate. Such conditions may include, but are not limited to, requiring alcohol or drug treatment; requiring medical care; requiring psychological or psychiatric care; requiring professional office practice or management counseling; and requiring periodic audits or reports. In any case where an attorney or LP is placed on probation pursuant to this rule, the Adjudicator or the court may appoint a suitable person or persons to supervise the probation. Cooperation with any person so appointed shall be a condition of the probation.

(b) Authority in Contested Reinstatement Proceedings. Upon determining that an applicant should be conditionally reinstated to membership in the Oregon State Bar, the court may decide to place the applicant on probation for a period no longer than three years. The probationary terms may include, but are not limited to, those provided in BR 6.2(a). The court may appoint a suitable person or persons to supervise the probation. Cooperation with any person so appointed shall be a condition of the probation. An attorney or LP placed on probation pursuant to this rule may have their probation revoked for a violation of any probationary term by petition of Disciplinary Counsel in accordance with the procedures set forth in BR 6.2(d). An attorney or LP whose probation is revoked shall be suspended from the practice of law until further order of the court.

(c) Disciplinary Board. The Disciplinary Board shall not impose probation in cases decided after a trial or a default and shall not conditionally reinstate an applicant after a contested reinstatement hearing.

(d) Revocation Petition; Service; Trial Panel; Setting Hearing. Disciplinary Counsel may petition the Adjudicator or the court, as the case may be, to revoke the probation of any attorney or LP for violation of any probationary term imposed by a trial panel or the court, serving the attorney or LP with a copy of the petition pursuant to BR 1.8. The Adjudicator or the court, as the case may be, may order the attorney or LP to appear and show cause why probation should not be revoked and the original sanction imposed; the court also may refer the matter to the Disciplinary Board for hearing. When revocation of a trial panel probation is sought or the court has referred the matter to the Disciplinary Board for hearing, the Adjudicator shall appoint trial panel members pursuant to BR 2.4(f)(7) to serve with the Adjudicator on a trial panel that will conduct the show cause hearing and, where applicable, report back to the court. The Disciplinary Board Clerk shall notify the attorney or LP and Disciplinary Counsel in writing of the members to serve on the trial panel. Parties may challenge trial panel members pursuant to BR 2.4(h). After any timely filed challenges have been ruled upon and any substitute members have been appointed, the Adjudicator shall promptly enter an order that the attorney or LP appear and show cause why probation should not be revoked and the original sanction imposed, and that establishes the date, place, and time of the show cause hearing, which must be held not less than 21 days later. The Disciplinary Board Clerk shall send the parties a copy of the show cause order. At the hearing, Disciplinary Counsel has the burden of proving by clear and convincing evidence that the attorney or LP has violated a material term of probation. If the attorney or LP, after being served with a copy of the petition and sent a copy of the show cause order, fails to appear at the hearing, the trial panel shall deem the allegations in the petition to be true and proceed to issue its written opinion based on the petition. If the revocation matter is within the jurisdiction of the Disciplinary Board, the trial panel's decision shall be filed with the Disciplinary Board Clerk, and the Disciplinary Board Clerk shall send copies to the parties. If the revocation matter is within the court's jurisdiction, the trial panel appointed to conduct the show cause hearing shall report back to the court, and the court shall thereafter rule on the petition. A petition for revocation of an attorney's or LP's probation shall not preclude the Bar from filing independent disciplinary charges based on the same conduct as alleged in the petition.

(e) Application of Other Rules. Except as specifically provided herein, Title 4 and Title 5 of the Rules of Procedure do not apply to proceedings brought pursuant to BR 6.2(d).

(Rule 6.2(b) amended by Order dated July 22, 1991.)

(Rule 6.2(d) amended by Order dated February 5, 2001. Amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 6.2(a), 6.2(b), 6.2(c), and 6.2(d) amended and Rule 6.2(e) added by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 6.2(a), (b) and (d) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 6.2(a) through (c) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 6.3 Duties Upon Disbarment or Suspension.

(a) Attorney or LP to Discontinue Practice. A disbarred or suspended attorney or LP shall not practice law after the effective date of disbarment or suspension. This rule shall not preclude a disbarred or suspended attorney or LP from providing information on the facts of a case and its status to a succeeding attorney or LP, and such information shall be provided on request.

(b) Responsibilities. It shall be the duty of a disbarred or suspended attorney or LP to immediately take

all reasonable steps to avoid foreseeable prejudice to any client and to comply with all applicable laws and disciplinary rules.

(c) Notice; Return of Client Property. When, as a result of the disbarment or suspension, any active client matter will be left for which no other active member of the Bar, with the consent of the client, has agreed to resume responsibility, the disbarred or suspended attorney or LP shall give written notice of the cessation of practice to the affected clients, opposing parties, courts, agencies, and any other person or entity having reason to be informed of the cessation of practice. Such notice shall be given no later than fourteen (14) days after the effective date of the disbarment or suspension. In the case of a disbarment or a suspension of more than 60 days, client property pertaining to any active client matter shall be delivered to the client or an active member of the Bar designated by the client as substitute counsel.

(d) Contempt. Disciplinary Counsel may petition the Supreme Court to hold a disbarred or suspended attorney or LP in contempt for failing to comply with the provisions of BR 6.3(a), (b), or (c). The court may order the attorney or LP to appear and show cause, if any, why the attorney or LP should not be held in contempt of court and sanctioned accordingly.

(Rule 6.3 amended by Order dated March 13, 1989, effective April 1, 1989.)

(Former Rule 6.3(c) redesignated as Rule 6.3(d); Rule 6.3(c) added; and Rule 6.3(d) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 6.3 amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 6.3(c) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 6.4 Ethics School.

(a) An attorney or LP sanctioned under BR 6.1(a)(2), (a)(3) or (a)(4) shall successfully complete a one-day course of study developed and offered by the Bar on the subjects of legal ethics, professional responsibility and law office management. Successful completion requires that the attorney or LP complete the course offered by the Bar within the designated period established by the Bar, and pay the attendance fee established by the Bar.

(b) An attorney or LP reprimanded under BR 6.1(a)(2) who does not successfully complete the course of study when the course is next offered by the Bar following the effective date of the reprimand may be suspended from the practice of law upon order of the Adjudicator, until the attorney or LP successfully completes the course.

(c) An attorney or LP suspended under BR 6.1(a) shall not be reinstated until the attorney or LP successfully completes the course of study, unless the course is not offered before the attorney's or LP's term of suspension expires, in which case the attorney or LP may be reinstated if otherwise eligible under applicable provisions of Title 8 of these Rules until the course is next offered by the Bar. If the attorney or LP does not successfully complete the course when it is next offered, the attorney or LP may be suspended from the practice of law upon order of the Adjudicator, until the attorney or LP successfully completes the course.

(d) Notwithstanding the provisions of BR 6.4(b) and (c), an extension of time in which to complete the ethics school requirement may be granted by the Bar or the Adjudicator, as the case may be, for good cause shown.

(e) Reinstatement. Subject to the requirements for reinstatement under Title 8, any attorney or LP who has been a member of the Bar or licensed as an LP but suspended for less than five years under this Rule solely for failure to complete the Ethics School requirement shall apply for reinstatement by filing a form prepared by the Bar and paying a \$100 reinstatement fee after the Ethics School requirement has been fulfilled. Upon compliance with the rule, the Chief Executive Officer shall submit a recommendation to the court with a copy to the applicant. No reinstatement is effective until approved by the court. Reinstatement under this rule shall have no effect upon any member's status under any other proceeding under these Rules of Procedure.

(Rule 6.4 added by Order dated December 10, 2010, effective June 1, 2011.)

(Rule 6.4(a), 6.4(b), 6.4(c), and 6.4(d) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 6.4(a), (b), and (c) amended by Order dated August 17, 2022, effective July 1, 2023.)

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(Rule 6.4(a), and (c) amended, and Rule 6.4(e) added by Order dated December 26, 2023, effective January 1, 2024.)

Title 7 — Suspension for Failure to Respond in a Disciplinary Investigation

Rule 7.1 Suspension for Failure to Respond to a Request for Information or a Subpoena.

(a) **Petition for Suspension.** When an attorney or LP fails without good cause to timely respond to a request from Disciplinary Counsel for information or records, or fails to respond to a subpoena issued pursuant to BR 2.2(b)(2), Disciplinary Counsel may petition the Disciplinary Board for an order immediately suspending the attorney or LP until such time as the attorney or LP responds to the request or complies with the subpoena. A petition under this rule shall allege that the attorney or LP has not responded to requests for information or records or has not complied with a subpoena, and has not asserted a good-faith objection to responding or complying. The petition shall be supported by a declaration setting forth the efforts undertaken by Disciplinary Counsel to obtain the attorney's or LP's response or compliance.

(b) **Procedure.** Disciplinary Counsel shall file a petition under this rule with the Disciplinary Board Clerk. The Adjudicator shall have the authority to act on the matter for the Disciplinary Board. A copy of the petition and declaration shall be served on the attorney or LP as set forth in BR 1.8(a).

(c) **Response.** Within fourteen (14) calendar days after service of the petition, the attorney or LP may file a response with the Disciplinary Board Clerk, setting forth facts showing that the attorney or LP has responded to the requests or complied with the subpoena, or the reasons why the attorney or LP has not responded or complied. The attorney or LP shall serve a copy of the response upon Disciplinary Counsel pursuant to BR 1.8(b). Disciplinary Counsel may file a reply to any response with the Disciplinary Board Clerk within 2 business days after being served with a copy of the attorney's or LP's response and shall serve a copy of the reply on the attorney or LP.

(d) **Review by the Disciplinary Board.** Upon review, the Adjudicator shall issue an order that either denies the petition or immediately suspends the attorney or LP from the practice of law for an indefinite period. The Adjudicator shall file the order with the Disciplinary Board Clerk, who shall promptly send copies to Disciplinary Counsel and the attorney or LP.

(e) **Duties upon Suspension.** An attorney or LP suspended from practice under this rule shall comply with the requirements of BR 6.3(a) and (b).

(f) **Independent Charges.** Suspension of an attorney or LP under this rule is not discipline. Suspension or reinstatement under this rule shall not prevent the SPRB from directing Disciplinary Counsel to file a formal complaint against an attorney or LP alleging a violation of RPC 8.1(a)(2), arising from the failure to respond or comply as alleged in the petition for suspension filed under this rule.

(g) **Reinstatement.** Subject to the requirements for reinstatement under Title 8, any attorney or LP who has been a member of the Bar or licensed as an LP but suspended under BR 7.1 solely for failure to respond to requests for information or records or to respond to a subpoena shall be reinstated by the Chief Executive Officer to the membership status from which the person was suspended upon the filing of a Compliance Declaration with Disciplinary Counsel as set forth in BR 13.10.

(Rule 7.1 amended by Order dated November 1, 1984, effective December 1, 1984. Amended by Order dated September 24, 1987, effective October 1, 1987. Rule 7.1 amended by Order dated October 1, 1990. Title 7 amended by Order dated July 22, 1991.)

(Rule 7.1 deleted by Order dated October 19, 2009.)

(Rule 7.1 added by Order dated August 12, 2013, effective November 1, 2013.)

(Rule 7.1(a), 7.1(b), 7.1(c), 7.1(d), 7.1(f), and 7.1(g) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 7.1(a) and 7.1(g) amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 7.1 amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 7.1 amended by Order dated December 26, 2023, effective January 1, 2024.)

Title 8 — Reinstatement

Rule 8.1 Reinstatement — Formal Application Required.

- (a) Applicants. Any person who has been a member of the Bar, but who has
- (1) resigned under Form A of these rules prior to December 1, 2019, more than ten years prior to the date of application for reinstatement and who has not been a member of the Bar during such period; or
 - (2) resigned under Form B of these rules prior to January 1, 1996; or
 - (3) been disbarred as a result of a disciplinary proceeding commenced by formal complaint before January 1, 1996; or
 - (4) been suspended for misconduct for a period of more than 6 months; or
 - (5) been suspended for misconduct for a period of 6 months or less but has remained in a suspended status for a period of more than 6 months prior to the date of application for reinstatement; or
 - (6) [Reserved].
 - (7) been involuntarily transferred to an inactive membership status; or
 - (8) been suspended under BR 7.1 for a period of more than five years prior to the date of application for reinstatement; or
 - (9) been suspended for any reason and has remained in that status more than 10 years.

and who desires to be reinstated as an active member or to resume the practice of law in Oregon shall be reinstated as an active member of the Bar only upon formal application and compliance with the Rules of Procedure in effect at the time of such application. Applicants for reinstatement under this rule must file a completed application with the Bar on a form prepared by the Bar for that purpose. The applicant shall attest that the applicant did not engage in the practice of law except where authorized to do so during the period of the applicant's suspension, disbarment, or resignation. A reinstatement to inactive status is not allowed under this rule. An applicant who has been suspended for a period exceeding 6 months may not apply for reinstatement any earlier than 3 months before the earliest possible expiration of the period specified in the opinion or order imposing suspension.

(b) Required Showing; Effect of Noncooperation.

(1) Each applicant under this rule must show that the applicant has good moral character and general fitness to practice law; that the applicant has reformed since engaging in earlier misconduct, if any; and that the resumption of the practice of law in Oregon by the applicant will not be detrimental to the administration of justice or the public interest. Reformation may be established by evidence, such as:

- (i) character evidence from people who know and have had the opportunity to observe the applicant;
- (ii) evidence of the applicant's participation in activities for the public good; (iii) evidence of the applicant's forthrightness in acknowledging earlier wrongdoing; (iv) evidence of the applicant's adequate resolution of any previous substance abuse problem; and (v) evidence of the applicant's willingness to pay restitution to those people harmed by the applicant's earlier conduct. In determining whether the evidence is sufficient to establish reformation, the Supreme Court must be satisfied that the applicant has reformed in light of the earlier misconduct.

(2) Each applicant has a duty to cooperate and comply with requests from the Bar in its efforts to assess the applicant's good moral character and general fitness to practice law, including responding to a lawful

demand for information; the execution of releases necessary to obtain information and records from third parties whose records reasonably bear upon character and fitness; and reporting promptly any changes, additions or corrections to information provided in the application.

(3) The Chief Executive Officer may refer to the Board any applicant who, during the pendency of a reinstatement application, engages in conduct that would violate RPC 8.1(a) if done by an attorney or LP, with a recommendation that the Board determine that the applicant has not made the showing required by BR 8.1(b) and recommend to the Supreme Court that the application be denied. No applicant shall resume the practice of law in Oregon or active membership status unless all the requirements of this rule are met.

(c) **Learning and Ability.** In addition to the showing required in BR 8.1(b), each applicant under this rule must show that the applicant has the requisite learning and ability to practice law in Oregon. The Bar may recommend and the Supreme Court may require as a condition precedent to reinstatement that the applicant take and pass the bar examination administered by the BBX, or successfully complete a prescribed course of continuing legal education. Factors to be considered in determining an applicant's learning and ability include, but are not limited to: the length of time since the applicant was an active member of the Bar; whether and when the applicant has practiced law in Oregon; whether the applicant practiced law in any jurisdiction since they were last an active member in Oregon; and whether the applicant has participated in continuing legal education activities since they were last an active member in Oregon.

(d) **Fees.** In addition to the payments required in BR 8.6, an applicant under this rule shall pay an application fee of \$750 at the time the application for reinstatement is filed.

(e) **Review by Chief Executive Officer; Referral of Application to Board.** Notice of and requests for comment on applications filed under BR 8.1 shall be published on the Bar's website for a period of 30 days. If, after review of an application filed under BR 8.1 and any information gathered in the investigation of the application, the Chief Executive Officer determines that the applicant has made the showing required by BR 8.1(b), the Chief Executive Officer shall recommend to the Supreme Court, as provided in BR 8.7, that the application be granted, conditionally or unconditionally. If the Chief Executive Officer is unable to determine from a review of an application and any information gathered in the investigation of the application that the applicant has made the showing required by BR 8.1(b), the Chief Executive Officer shall refer the application to the Board for consideration, with notice to the applicant.

(f) **Board Consideration of Application.** If, after a referral from the Chief Executive Officer, the Board determines from its review of the application and any information gathered in the investigation of the application that the applicant has made the showing required by BR 8.1(b), the Board shall recommend to the Supreme Court, as provided in BR 8.7, that the application be granted, conditionally or unconditionally. If the Board determines that the applicant has not made the showing required by BR 8.1(b), the Board shall recommend to the court that the application be denied.

(g) If either the Chief Executive Officer or the Board recommend to the Supreme Court, under paragraph (e) or (f) of this rule, that the application be granted conditionally or unconditionally, then the court must determine whether the applicant has satisfied the burden of proof set out in BR 8.12. If the court determines that the applicant has not satisfied the burden of proof, the court may deny the application or it may remand to the Chief Executive Officer or the Board, or take any other action that it deems appropriate.

(Rule 8.1(c) and (f) amended by Order dated May 31, 1984, effective July 1, 1984.)

(Rule 8.1(c) amended by Order dated July 27, 1984 nun pro tunc May 31, 1984.)

(Rule 8.1 amended by Order dated March 13, 1989, effective April 1, 1989, corrected June 1, 1989.)

(Rule 8.1(a) and (c) amended by Order dated March 20, 1990, effective April 2, 1990.)

(Rule 8.1(a), (c), and (d) amended by Order dated December 14, 1995.)

(Rule 8.1(a) amended by Order dated February 5, 2001.)

(Rule 8.1(d) amended by Order dated October 19, 2009.)

(Rule 8.1(c) amended and Rule 8.1(e) and (f) added by Order dated April 5, 2013.)

(Rule 8.1(a)(i), 8.1(a)(ii), 8.1(a)(iii), 8.1(a)(iv), 8.1(a)(v), 8.1(a)(vi), 8.1(a)(vii), and 8.1(a)(viii) redesignated as Rule 8.1(a)(1),

8.1(a)(2), 8.1(a)(3), 8.1(a)(4), 8.1(a)(5), 8.1(a)(6), 8.1(a)(7), and 8.1(a)(8); Rule 8.1(a), 8.1(a)(4), 8.1(a)(5), 8.1(a)(6), 8.1(a)(7), 8.1(a)(8), 8.1(b), 8.1(c), 8.1(d), 8.1(e), and 8.1(f) amended by Order dated May 3, 2017, effective January 1, 2018.)
 (Rule 8.1(a)(1) amended by Order dated May 22, 2019, effective September 1, 2019.)
 (Rule 8.1(b) amended and redesignated BR 8.1(b)(1), 8.1(b)(2), and 8.1(b)(3) and Rule 8.1(g) added by Order dated October 27, 2019, effective December 1, 2019.)
 (Rule 8.1(a)(9) added by Order dated October 15, 2020, effective November 14, 2020.)
 (Rule 8.1(a) amended by Order dated December 8, 2020.)
 (Rule 8.1(a), Rule 8.1(a)(1), 8.1(a)(6), 8.1(a)(7), 8.1(a)(8), 8.1(a)(9), 8.1(c), and 8.1(d) amended by Order dated December 14, 2022, effective January 1, 2023.)
 (Rule 8.1(b)(3) amended by Order dated August 1, 2023.)

Rule 8.2 [Reserved. Reinstatement — Informal Application Required moved to Rules of Licensure 11.5 Streamlined Reinstatement]

(Rule 8.2(b) amended by Order dated May 31, 1984, effective July 1, 1984.)
 (Rule 8.2 amended by Order dated March 13, 1989, effective April 1, 1989.)
 (Rule 8.2 (a) and (b) amended by Order dated March 20, 1990, effective April 2, 1990.)
 (Rule 8.2(a) amended by Order dated December 28, 1993.)
 (Rule 8.2(a) amended by Order dated December 14, 1995.)
 (Rule 8.2 amended by Order dated December 9, 2004, effective January 1, 2005.)
 (Rule 8.2(d)(iii) amended by Order dated April 26, 2007.)
 (Rule 8.2(c) and 8.2(d) amended by Order dated October 19, 2009.)
 (Rule 8.2(a)(iv) added by Order dated June 6, 2012.)
 (Rule 8.2(a)(v) added by Order dated August 12, 2013, effective November 1, 2013.)
 (Rule 8.2(a)(i), 8.2(a)(ii), 8.2(a)(iii), 8.2(a)(iv), 8.2(a)(v), 8.2(d)(i), 8.2(d)(ii), and 8.2(d)(iii) redesignated as Rule 8.2(a)(1), 8.2(a)(2), 8.2(a)(3), 8.2(a)(4), 8.2(a)(5), 8.2(d)(1), 8.2(d)(2), and 8.2(d)(3); Rule 8.2(a), 8.2(a)(1), 8.2(a)(2), 8.2(a)(3), 8.2(a)(4), 8.2(a)(5), 8.2(b), 8.2(c), 8.2(d)(1), 8.2(d)(2), 8.2(d)(3), 8.2(e), 8.2(f), and 8.2(g) amended by Order dated May 3, 2017, effective January 1, 2018.)
 (Rule 8.2(a), 8.2(a)(1), and 8.2(d)(1) amended and Rule 8.2(a)(6) and 8.2(a)(7) added by Order dated May 22, 2019, effective September 1, 2019.)
 (Rule 8.2(a)(8) added and Rule 8.2(d)(1) and 8.2(d)(2) amended by Order dated October 15, 2020, effective November 14, 2020.)
 (Rule 8.2(g) amended by Order dated December 8, 2020.)
 (Rule 8.2(a)(4) was amended by Order dated October 31, 2022, effective November 1, 2022.)
 (Rule 8.2(a), 8.2(a)(1-6), 8.2(c), 8.2(c)(1-4), and Rule 8.2(d-g) redesignated as Rule 8.2(d-h) amended, Rule 8.2(a)(7) and 8.2(a)(8) deleted by Order dated December 14, 2022, effective January 1, 2023.)

Rule 8.3 Reinstatement — Compliance Affidavit.

(a) Applicants. Subject to the provisions of BR 8.1(a)(5), any person who has been a member of the Bar but who has been suspended for misconduct for a period of six months or less may be reinstated upon the filing of a Compliance Declaration with Disciplinary Counsel as set forth in BR 13.9, unless the court or Disciplinary Board in any suspension order or decision shall have directed otherwise, or new charges have been authorized against the attorney by the State Professional Responsibility Board.

(b) Fees. In addition to the payments required in BR 8.6, an applicant under this rule shall pay an application fee of \$250 at the time the application for reinstatement is filed.

(Rule 8.3 established by Order dated March 13, 1989, effective April 1, 1989.)
 (Rule 8.3(a) amended by Order dated December 28, 1993.)
 (Rule 8.3(b) amended by Order dated October 19, 2009.)
 (Rule 8.3(a) and 8.3(b) amended by Order dated May 3, 2017, effective January 1, 2018.)
 (Rule 8.3 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 8.4 [Reserved - Reinstatement — Financial, Noncompliance With Minimum Continuing Legal Education, or Trust Account Certification Matters moved to Rules of Licensure 11.4 Administrative Reinstatement]

Rule 8.5 Reinstatement — Noncompliance With Ethics School Requirements.

(a) Applicants. Subject to BR 8.1(a)(viii), any person who has been a member of the Bar but suspended solely for failure to comply with the requirements of the Ethics School established by BR 6.4 may seek reinstatement at any time subsequent to the date of the applicant's suspension by meeting the following conditions:

- (1) Completing the requirements that led to the suspension;
- (2) Filing a written statement with the Chief Executive Officer, on a form prepared by the Bar which establishes applicant has completed Ethics School required under BR 6.4 and attests that the applicant did not engage in the practice of law except where authorized to do so during the period of the applicant's suspension; and
- (3) Submitting a reinstatement fee of \$100 at the time of filing the written statement.

(b) Referral to Supreme Court. Upon compliance with the requirements of this rule, the Chief Executive Officer shall submit a recommendation to the court with a copy to the applicant. No reinstatement is effective until approved by the court.

(c) Exception. Reinstatement under this rule shall have no effect upon any member's status under any other proceeding under these Rules of Procedure.

(Rule 8.4 established by Order dated November 24, 1987, effective January 1, 1988.)

(Rule 8.5 (former BR 8.4) amended by Order dated March 13, 1989, effective April 1, 1989.)

(Rule 8.5(a) amended by Order dated December 14, 1995.)

(Rule 8.5(a) amended by Order dated October 19, 2009.)

(Rule 8.5(a) amended by Order dated June 6, 2012.)

(Rule 8.5(a)(i), 8.5(a)(ii), and 8.5(a)(iii) redesignated as Rule 8.5(a)(1), 8.5(a)(2), and 8.5(3); Rule 8.5(a), 8.5(a)(2), 8.5(a)(3), and 8.5(b) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 8.5(a) and 8.5(a)(2) amended by order dated October 31, 2022, effective November 1, 2022.)

Rule 8.6 Other Obligations Upon Application.

(a) Financial Obligations. Each applicant seeking reinstatement shall pay to the Bar, at the time the application for reinstatement is filed, all past due assessments, fees, and penalties owed to the Bar for prior years, and the membership fee and Client Security Fund assessment for the year in which the application for reinstatement is filed, less any active or inactive membership fees or Client Security Fund assessment paid by the applicant previously for the year of application. Each applicant under BR 8.1(a)(1) and BR 8.1(a)(8), shall also pay to the Bar, at the time of application, an amount equal to \$100 for each year the applicant remained suspended or resigned, and for which no membership fee has been paid. Each applicant shall also pay, upon reinstatement, any applicable assessment to the Professional Liability Fund.

(b) Judgment for Costs; Client Security Fund Claim. Each applicant shall also pay to the Bar, at the time of application:

- (1) any unpaid judgment for costs and disbursements assessed in a disciplinary or contested reinstatement proceeding; and
- (2) an amount equal to any claim paid by the Client Security Fund due to the applicant's conduct, plus accrued interest thereon.

(c) Refunds. In the event an application for reinstatement is denied, the Bar shall refund to the applicant the membership fees and assessments paid for the year the application was filed, less the membership fees and assessments that applied during any temporary reinstatement under BR 8.7.

(d) Adjustments. In the event an application for reinstatement is filed in one year and not acted upon until the following year, the applicant shall pay to the Bar, prior to reinstatement, any increase in membership fees or assessments since the date of application. If a decrease in membership fees and assessments has occurred, the Bar shall refund the decrease to the applicant.

(Rule 8.6(a) and (b) amended by Order dated December 14, 1995.)

(Rule 8.6(a), (b) and (c) amended by Order dated February 5, 2001.)

(Rule 8.6(a) amended by Order dated June 6, 2012.)

(Rule 8.6(a) amended by Order dated August 10, 2015.)

(Rule 8.6(b)(i) and 8.6(a)(ii) redesignated as Rule 8.6(b)(1) and 8.6(b)(2); Rule 8.6(a) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 8.6(a) amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 8.6(a) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 8.7 Investigation and Favorable Recommendation; Voluntary Conditional Reinstatements and Temporary Reinstatements.

(a) Investigation

(1) On the filing of an application for reinstatement under BR 8.1 in which the applicant seeks reinstatement for reasons other than previously imposed discipline, Regulatory Counsel shall conduct such investigation as it deems proper and report to the Chief Executive Officer.

(2) On the filing of an application for reinstatement under BR 8.1 in which applicants seek reinstatement as a result of imposed discipline, Disciplinary Counsel shall conduct such investigations as it deems proper and report to the Chief Executive Officer, as necessary.

(b) Favorable Recommendations. For applications filed under BR 8.1, the Chief Executive Officer shall recommend to the Supreme Court that the application be granted, either conditionally or unconditionally, and shall mail a copy of the recommendation to the applicant.

(c) Voluntary Conditional Reinstatement.

(1) For applications filed under BR 8.1, if the Bar's investigation establishes concerns about an applicant's current or future character and fitness practicing law due to past conduct; the Bar may propose to the applicant to recommend to the court a voluntary conditional reinstatement of the applicant with probationary conditions to mitigate concerns about an applicant's character and fitness. The applicant must agree to submit such a recommendation.

(2) Upon receipt of a recommendation of voluntary conditional reinstatement, the court may approve or modify the recommendation, including approving any probationary conditions imposed; or the court may deny the recommendation.

(d) Temporary Reinstatements.

(1) Except as provided in subsection (2) of this rule, upon making a determination that an applicant is of good moral character and generally fit to practice law, the Chief Executive Officer may temporarily reinstate them pending receipt of all investigatory materials. A temporary reinstatement shall not exceed a period of four months unless authorized by the court.

(2) An applicant who seeks reinstatement following a suspension or disbarment for professional misconduct, or an involuntary transfer to inactive status is not eligible for temporary reinstatement.

(Rule 8.7 amended by Order dated December 28, 1993.)

(Rule 8.7(a) amended by Order dated December 9, 2004, effective January 1, 2005.)

(Rule 8.7(a) and (b) amended by Order dated April 5, 2013.)

(Rule 8.7(a) and 8.7(b) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 8.7(a) amended by Order dated December 8, 2020.)

(Rule 8.7(a) and (b) amended, and Rule 8.7(c) added by Order dated December 26, 2023, effective January 1, 2024.)

Rule 8.8 Petition to Review Adverse Recommendation.

(a) This rule applies when the Bar has filed an adverse recommendation with the Supreme Court, under BR Title 8 or RL Title 11.

(b) Not later than 28 days after the Bar files an adverse recommendation as described in subsection (a) of this Rule, an applicant who seeks to contest the Bar's recommendation shall file with the court a petition stating that the applicant wishes to have the case reviewed by the court, serving a copy on Disciplinary Counsel. The State Court Administrator shall give written notice of such a referral to the Disciplinary Board Clerk, Disciplinary Counsel, and the applicant. The applicant's resignation, disbarment, suspension or inactive or retired membership status shall remain in effect until the court's final disposition of the petition.

(c) Upon *de novo* review, the court may allow the petition and grant reinstatement or deny reinstatement. If the court considers it appropriate, it also may

- (1) Grant conditional reinstatement, including approved probationary conditions;
- (2) Refer the petition to the Disciplinary Board to inquire into the applicant's moral character and general fitness to practice law, or to otherwise inquire into any other issue relating to the requirements for reinstatement; or
- (3) Take any other action that it deems appropriate.

(Rule 8.8 amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 8.8 amended by Order dated April 5, 2013.)

(Rule 8.8 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 8.8 amended and redesignated as Rule 8.8(a) and 8.8(b) by Order dated October 27, 2019, effective December 1, 2019.)

Rule 8.9 Procedure on Referral By Supreme Court.

On receipt of notice of a referral to the Disciplinary Board under BR 8.8, Disciplinary Counsel may appoint Bar Counsel to represent the Bar. Disciplinary Counsel or Bar Counsel shall prepare and file with the Disciplinary Board Clerk, with proof of service on the applicant, a statement of objections. The statement of objections shall be substantially in the form set forth in BR 13.5.

(Rule 8.9 amended by Order dated February 5, 2001. Amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 8.9 amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 8.10 Answer to Statement Of Objections.

The applicant shall answer the statement of objections within 14 days after service of the statement and notice to answer upon the applicant. The answer shall be responsive to the objections filed. General denials are not allowed. The answer shall be substantially in the form set forth in BR 13.3 and shall be filed with the Disciplinary Board Clerk, with proof of service on Disciplinary Counsel. After the answer is filed or upon the expiration of the time allowed in the event the applicant fails to answer, the matter shall proceed to hearing.

(Rule 8.10 amended by Order dated July 17, 2003, effective July 1, 2003.)

(Rule 8.10 amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 8.11 Hearing Procedure.

Titles 4, 5, and 10 apply as far as practicable to reinstatement proceedings referred by the Supreme Court to the Disciplinary Board for hearing.

(Rule 8.11 amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 8.12 Burden of Proof.

An applicant has the burden of proving the elements of the applicable standard by clear and convincing evidence.

(Rule 8.12 amended by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 8.12 amended by Order dated October 27, 2019, effective December 1, 2019.)

Rule 8.13 Burden Of Producing Evidence.

While an applicant for reinstatement has the ultimate burden of proof to establish good moral character and general fitness to practice law, the Bar shall initially have the burden of producing evidence in support of its position that the applicant should not be readmitted to the practice of law.

Rule 8.14 Reinstatement and Transfer--Active Pro Bono.

(a) Reinstatement from Inactive Status. An applicant who has been enrolled voluntarily as an inactive member and who has not engaged in any of the conduct described in BR 8.2(d) may be reinstated by the Chief Executive Officer to Active Pro Bono status. The Chief Executive Officer may deny the application of such an applicant for reinstatement for the reasons set forth in BR 8.2(d), in which case the applicant may be reinstated only upon successful compliance with all of the provisions of BR 8.2. The application for reinstatement to Active Pro Bono status shall be on a form prepared by the Bar for such purpose. No fee is required.

(b) Transfer to Regular Active Status. An applicant who has been on Active Pro Bono status for a period of 5 years or less and who desires to be eligible to practice law without restriction may be transferred to regular active status in the manner provided in and subject to the requirements of BR 8.1 and BR 8.2.

(Rules 8.5 - 8.11 amended by Order dated November 24, 1987, effective January 1, 1988.)
(Rules 8.6 - 8.13 amended by Order dated March 13, 1989, effective April 1, 1989.)
(Rule 8.14 added by Order dated September 6, 2001, effective September 6, 2001.)
(Rule 8.14(a) and (b) amended by Order dated October 19, 2009.)
(Rule 8.14(a) and 8.14(b) amended by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 8.14(b) amended by Order dated October 15, 2020, effective November 14, 2020.)

Title 9 — Resignation

Rule 9.1 Resignation.

An attorney or LP may resign membership in the Bar by filing a resignation that shall be effective only on acceptance by the Supreme Court. If no inquiries or grievances involving the attorney or LP are under investigation by the Bar, no disciplinary proceedings are pending against the attorney or LP, the attorney or LP is not suspended, disbarred, or on probation pursuant to BR 6.1 or BR 6.2, and the attorney or LP is not charged in any jurisdiction with an offense that is a misdemeanor that may involve moral turpitude, a felony under the laws of this state, or a crime punishable by death or imprisonment under the laws of the United States, the resignation must be on the form set forth in BR 13.6 and shall be filed with Regulatory Counsel. In all other circumstances, the resignation must be on the form set forth in BR 13.7 and shall be filed with Disciplinary Counsel.

(Rule 9.1 amended by Order dated February 5, 2001.)
(Rule 9.1 amended by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 9.1 amended by Order dated May 22, 2019, effective September 1, 2019.)
(Rule 9.1 amended by Order dated December 8, 2020.)
(Rule 9.1 amended by Order dated August 17, 2022, effective July 1, 2023.)

Rule 9.2 Acceptance Of Resignation.

Disciplinary or Regulatory Counsel, as the case may be, shall promptly forward the resignation to the State Court Administrator for submission to the Supreme Court. Upon acceptance of the resignation by the court, the name of the resigning attorney or LP shall be stricken from the roll of attorneys or LPs; and they shall no longer be entitled to the rights or privileges of an attorney or LP, but shall remain subject to the jurisdiction of the court with respect to matters occurring while they were an attorney or LP. Unless otherwise ordered by the court, any pending investigation of charges, allegations, or instances of alleged misconduct by the resigning attorney or LP shall, on the acceptance by the court of their resignation, be closed, as shall any pending disciplinary proceeding against the attorney or LP.

(Rule 9.2 amended by Order dated February 5, 2001.)

(Rule 9.2 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 9.2 amended by Order dated December 8, 2020.)

(Rule 9.2 amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 9.2 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 9.3 Duties Upon Resignation.

(a) Attorney or LP to Discontinue Practice. An attorney or LP who has resigned membership in the Oregon State Bar shall not practice law after the effective date of the resignation. This rule shall not preclude an attorney or LP who has resigned from providing information on the facts of a case and its status to a succeeding attorney or LP, and such information shall be provided on request.

(b) Responsibilities. It shall be the duty of an attorney or LP who has resigned to immediately take all reasonable steps to avoid foreseeable prejudice to any client and to comply with all applicable laws and disciplinary rules.

(c) Notice. When, as a result of an attorney's or LP's resignation, an active client matter will be left for which no other active member of the Bar, with the consent of the client, has agreed to resume responsibility, the resigned attorney or LP shall give written notice of the cessation of practice to the affected clients, opposing parties, courts, agencies, and any other person or entity having reason to be informed of the cessation of practice. Such notice shall be given no later than fourteen (14) days after the effective date of the resignation. Client property pertaining to any active client matter shall be delivered to the client or an active member of the Bar designated by the client as substitute counsel no later than 21 days after the effective date of the resignation.

(d) Contempt. Disciplinary Counsel may petition the Supreme Court to hold an attorney or LP who has resigned in contempt for failing to comply with the provisions of BR 9.3(a), (b), or (c). The court may order the attorney or LP to appear and show cause, if any, why the attorney or LP should not be held in contempt of court and sanctioned accordingly.

(Rule 9.3 amended by Order dated March 13, 1989, effective April 1, 1989.)

(Former Rule 9.3(c) redesignated as Rule 9.3(d); Rule 9.3(c) added; and Rule 9.3(d) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 9.3(d) amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 9.3 amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 9.3(c) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 9.4 Effect of Form B Resignation.

An attorney or LP who has resigned membership in the Bar under Form B of these rules after December 31, 1995, shall never be eligible to apply for reinstatement under Title 8 of these rules and shall not be considered for admission under OR 9.220 or on any basis under the Rules for Admission of Attorneys.

(Rule 9.4 added by Order dated December 14, 1995.)

(Rule 9.4 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 9.4 amended by Order dated August 17, 2022, effective July 1, 2023.)

Rule 9.5 Effect of Form A Resignation after November 30, 2019.

An attorney or LP who has resigned membership in the Bar under Form A of these rules after November 30, 2019, shall never be eligible to apply for reinstatement under Title 8 of these rules, but may be considered for admission under ORS 9.220 or any basis under the Rules for Admission of Attorneys or Rules for Admission of Licensed Paralegals.

(Rule 9.5 repealed by Order dated January 17, 2008.)

(Rule 9.5 added by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 9.5 amended by Order dated August 17, 2022, effective July 1, 2023.)

Title 10 — Review By Supreme Court**Rule 10.1 Disciplinary Proceedings.**

Upon the conclusion of a disciplinary hearing, the Adjudicator, pursuant to BR 1.8, shall file the trial panel's written opinion with the Disciplinary Board Clerk, and the Disciplinary Board Clerk shall send copies to Disciplinary Counsel, Bar Counsel, and the respondent. The Bar or the respondent may seek review of the matter by the Supreme Court; otherwise, the decision of the trial panel shall be final on the 31st day following the notice of receipt of the trial panel opinion by the Disciplinary Board Clerk.

(Rule 10.1 amended by Order dated July 8, 1988.)

(Rule 10.1 amended by Order dated August 2, 1991.)

(Rule 10.1 amended by Order dated August 19, 1997, effective October 4, 1997.)

(Rule 10.1 amended by Order dated February 5, 2001.)

(Rule 10.1 amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 10.1 amended by Order dated June 17, 2003, effective January 1, 2004.)

(Rule 10.1 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 10.1 amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 10.1 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 10.2 Request for Review.

Within 30 days after the Disciplinary Board Clerk has acknowledged receipt of a trial panel opinion, the Bar or the respondent may file with the Disciplinary Board Clerk and the State Court Administrator a request for review as set forth in BR 13.8. A copy of the request for review shall be served on the opposing party.

(Rule 10.2 amended by Order dated July 22, 1991.)

(Rule 10.2 amended by Order dated February 5, 2001.)

(Rule 10.2 amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 10.2 amended by Order dated October 19, 2009.)

(Rule 10.2 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 10.2 amended by Order dated May 22, 2019, effective September 1, 2019.)

Rule 10.3 Contested Reinstatement Proceeding.

Upon the conclusion of a contested reinstatement hearing, the trial panel shall file its written opinion with the Disciplinary Board Clerk and the State Court Administrator, and serve copies on Disciplinary Counsel and the applicant. Each such reinstatement matter shall be reviewed by the Supreme Court.

(Rule 10.3 amended by Order dated July 8, 1988.)

(Rule 10.3 amended by Order dated August 19, 1997, effective October 4, 1997.)

(Rule 10.3 amended by Order dated February 5, 2001.)

(Rule 10.3 corrected by Order dated June 28, 2001.)

(Rule 10.3 amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 10.3 amended by Order dated June 17, 2003, effective January 1, 2004.)

(Rule 10.3 amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 10.4 Filing In Supreme Court.

(a) Record. Disciplinary Counsel shall file the record of a proceeding with the State Court Administrator upon the receipt by Disciplinary Counsel of:

- (1) a request for review timely filed pursuant to BR 10.2; or
- (2) a trial panel opinion in any contested reinstatement proceeding.

The record shall include a copy of the trial panel's opinion. Upon receipt of the record, the matter shall be reviewed by the court as provided in BR 10.5.

(Rule 10.4(a)(i) amended by Order dated July 22, 1991.)

(Rule 10.4 amended by Order dated June 29, 1993.)

(Rule 10.4(a)(ii) and (b) amended by Order dated August 19, 1997, effective October 4, 1997.)

(Rule 10.4 amended by Order dated June 17, 2003, effective January 1, 2004.)

(Former Rule 10.4(a)(i) and 10.4(a)(ii) redesignated as Rule 10.4(a)(1) and 10.4(a)(2); Rule 10.4(a), 10.4(a)(1), and 10.4(a)(2) amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 10.5 Procedure In Supreme Court.

(a) Briefs. No later than 28 days after the Supreme Court's written notice to Disciplinary Counsel and the respondent or applicant of receipt of the record, the party who requested review or the applicant, as the case may be, must file an opening brief. The brief must include a request for relief asking the court to adopt, modify, or reject, in whole or in part, the decision of the trial panel. Otherwise, the format of the opening brief and the timing and format of any answering or reply briefs shall be governed by the applicable Oregon Rules of Appellate Procedure. The failure of the Bar or a respondent or applicant to file a brief does not prevent the opposing litigant from filing a brief. Answering briefs are not limited to issues addressed in petitions or opening briefs, and may urge the adoption, modification, or rejection in whole or in part of any decision of the trial panel.

(b) Oral Argument. The Oregon Rules of Appellate Procedure relating to oral argument apply in disciplinary and contested reinstatement proceedings.

(Rule 10.5(b) and (c) amended by Order dated July 22, 1991.)

(Rule 10.5(b), 10.5(c), and 10.5(d) amended by Order dated October 19, 2009.)

(Former Rule 10.5(a) and 10.5(b) deleted; former Rule 10.5(c) and 10.5(d) redesignated as Rule 10.5(a) and 10.5(b); Rule 10.5(a) and 10.5(b) amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 10.6 Nature Of Review.

The Supreme Court shall consider each matter de novo upon the record and may adopt, modify, or reject the decision of the trial panel in whole or in part and thereupon enter an appropriate order. In admission or reinstatement proceedings, the Supreme Court may require an applicant whose admission or reinstatement has been denied to wait a period of time designated by the court before reapplying for admission or reinstatement.

(Rule 10.6 amended by Order dated July 22, 1991.)

(Rule 10.6 amended by Order dated October 19, 2009.)

(Rule 10.6 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 10.6 amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 10.6 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 10.7 Costs and Disbursements.

(a) Costs and Disbursements. "Costs and disbursements" are actual and necessary (1) service, filing and witness fees; (2) expenses of reproducing any document used as evidence at a hearing, including perpetuation

depositions or other depositions admitted into evidence; (3) expenses of the hearing transcript, including the cost of a copy of the transcript if a copy has been provided by the Bar to a respondent or an applicant without charge; and (4) the expense of preparation of an appellate brief in accordance with ORAP 13.05. Lawyer fees are not recoverable costs and disbursements, either at the hearing or on review. Prevailing party fees are not recoverable by any party.

(b) Allowance of Costs and Disbursements. In any discipline or contested reinstatement proceeding, costs and disbursements as permitted in BR 10.7(a) may be allowed to the prevailing party by the Disciplinary Board or the Supreme Court. A respondent or applicant prevails when the charges against the respondent are dismissed in their entirety or the applicant is unconditionally reinstated to the practice of law in Oregon. The Bar shall be considered to have prevailed in all other cases.

(c) Recovery After Offer of Settlement. A respondent may, at any time up to fourteen (14) days prior to hearing, serve upon Disciplinary Counsel an offer to enter into a stipulation for discipline or no contest plea under BR 3.6. In the event the SPRB rejects such an offer, and the matter proceeds to hearing and results in a final decision of the Disciplinary Board or the court imposing a sanction no greater than that to which the respondent was willing to plead no contest or stipulate based on the charges the respondent was willing to concede or admit, the Bar shall not recover, and the respondent shall recover, actual and necessary costs and disbursements as permitted in BR 10.7(a) incurred after the date the SPRB rejected the respondent's offer.

(d) Procedure for Recovery and Collection. The procedure set forth in the Oregon Rules of Appellate Procedure regarding the filing of cost bills and objections thereto shall apply, except that, in matters involving final decisions of the Disciplinary Board, cost bills and objections thereto shall be resolved by the Adjudicator. The cost bill and objections thereto shall be filed with the Disciplinary Board Clerk, with proof of service on the other party, and shall not be due until 21 days after the date a trial panel's decision is deemed final under BR 10.1. The procedure for entry of judgments for costs and disbursements as judgment liens shall be as provided in ORS 9.536.

(Rule 10.7 amended by Order dated June 25, 1985, effective July 15, 1985; amended by further Orders dated July 8, 1985 and July 22, 1985; amended by Order dated March 13, 1989, effective April 1, 1989. Rule 10.7 (a) amended by Order dated October 1, 1990; amended by Order dated June 28, 2001.)

(Rule 10.7(d) amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 10.7(a) and (d) amended by Order dated April 26, 2007.)

(Rule 10.7(b) amended by Order dated October 19, 2009.)

(Rule 10.7(a), 10.7(b), 10.7(c), and 10.7(d) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 10.7(b) amended by Order dated December 26, 2023, effective January 1, 2024.)

Title 11 — Time Requirements

Rule 11.1 Failure to Meet Time Requirements.

The failure of any person or body to meet any time limitation or requirement in these rules shall not be grounds for the dismissal of any charge or objection, unless a showing is made that the delay substantially prejudiced the ability of the respondent or applicant to receive a fair hearing.

(Rule 11.1 amended by Order dated May 3, 2017, effective January 1, 2018.)

Title 12 — Unlawful Practice of Law Committee

Rule 12.1 Appointment.

The Supreme Court may appoint as many members as it deems necessary to carry out the Unlawful Practice of Law Committee's functions. At least two members of the Unlawful Practice of Law Committee must be members of the general public, and no more than one-quarter of the Unlawful Practice of Law Committee members may be lawyers engaged in the private practice of law.

Rule 12.2 Investigative Authority.

Pursuant to ORS 9.164, the Unlawful Practice of Law Committee shall investigate on behalf of the Bar complaints of the unlawful practice of law. For purposes of this rule, “unlawful practice of law” means (1) the practice of law in Oregon, as defined by the Supreme Court, by a person who is not an active member of the Bar and is not otherwise authorized by law to practice law in Oregon; or (2) holding oneself out, in any manner, as authorized to practice law in Oregon when not authorized to practice law in Oregon.

Rule 12.3 Public Outreach and Education.

(a) The Unlawful Practice of Law Committee may engage in public outreach to educate the public about the potential harm caused by the unlawful practice of law. The Unlawful Practice of Law Committee may cooperate in its education efforts with federal, state, and local agencies tasked with preventing consumer fraud.

(b) The Unlawful Practice of Law Committee may write informal opinions on questions relating to what activities may constitute the practice of law. Opinions must be approved by the Board before publication. The published opinions are not binding, but are intended only to provide general guidance to lawyers and members of the public about activities that Supreme Court precedent and Oregon law indicate may constitute the unlawful practice of law.

Rule 12.4 Enforcement.

The Bar may petition the Supreme Court to hold a disbarred attorney or LP or an attorney or LP whose resignation pursuant to BR 9.1 has been accepted by the court in contempt for engaging in the unlawful practice of law. The court may order the disbarred or resigned attorney or LP to appear and show cause, if any, why the disbarred or resigned attorney or LP should not be held in contempt of court and sanctioned accordingly.

(Former Title 12 redesignated as Title 13; Title 12, Rule 12.1, 12.2, 12.3, and 12.4 added by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 12.4 amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 12.4 amended by Order dated August 17, 2022, effective July 1, 2023.)

Title 13 — Forms**Rule 13.1 Formal Complaint.**

A formal complaint in a disciplinary proceeding shall be in substantially the following form:

**IN THE SUPREME COURT
OF THE STATE OF OREGON**

In Re:)	No. _____
_____)	
Complaint as to the conduct of)	FORMAL
_____, Respondent)	COMPLAINT

For its first cause of complaint, the Oregon State Bar alleges:

1.

The Oregon State Bar was created and exists by virtue of the laws of the State of Oregon and is, and at all times mentioned herein was, authorized to carry out the provisions of ORS Chapter 9, relating to discipline of attorneys or licensed paralegals..

2.

The Respondent, _____, is, and at all times mentioned herein was, an attorney at law or a Licensed Paralegal, duly admitted by the Supreme Court of the State of Oregon to practice law in Oregon and a member of the Oregon State Bar, having his [her] office and place of business in the County of _____, State of _____.

3. et seq.

(State with certainty and particularity the actions of the Respondent alleged to be in violation of the disciplinary rules or statutes, including time, place and transaction, if necessary.)

4. (or next number)

The aforesaid conduct of the Respondent violated the following standard[s] of professional conduct established by law and by the Oregon State Bar: (insert applicable disciplinary rules and statutes).

AND, for its second cause of complaint against said Respondent, the Oregon State Bar alleges:

5. (or next number)

Incorporates by reference as fully set forth herein Paragraphs _____, _____, _____, and _____ of its first cause of complaint.

6. (or next number)

(State with certainty and particularity the actions of the Respondent alleged to be in violation of the disciplinary rules or statutes, including time, place and transaction, if necessary.)

7. (or next number)

The aforesaid conduct of the Respondent violated the following standard[s] of professional conduct established by law and by the Oregon State Bar: (insert applicable disciplinary rules and statutes).

AND, for its third cause of complaint against said Respondent, the Oregon State Bar alleges:

8. (or next number)

Incorporates by reference as fully set forth herein Paragraphs _____, _____, _____, _____, and _____ of its first cause of complaint and Paragraphs _____, _____, _____, and _____ of its second cause of complaint.

9. (or next number)

(State with certainty and particularity the actions of the Respondent alleged to be in violation of the disciplinary rules or statutes, including time, place and transaction, if necessary.)

10. (or next number)

The aforesaid conduct of the Respondent violated the following standard[s] of professional conduct established by law and by the Oregon State Bar: (insert applicable disciplinary rules and statutes).

WHEREFORE, the Oregon State Bar demands that the Respondent make answer to this complaint; that a hearing be set concerning the charges made herein; that the matters alleged herein be fully, properly and legally determined; and pursuant thereto, such action be taken as may be just and proper under the circumstances.

DATED this ___ day of ___, 20__.

OREGON STATE BAR
By:
Disciplinary Counsel

(Rule 12.1 amended by Order dated February 5, 2001.)

(Former Rule 12.1 redesignated as Rule 13.1; Rule 13.1 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 13.1 amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 13.1 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 13.2 Notice to Answer.

A copy of the formal complaint (statement of objections), accompanied by a notice to answer it within a designated time, shall be served on the respondent (applicant). Such notice shall be in substantially the following form:

(Heading as in complaint/statement of objections)

NOTICE TO ANSWER

You are hereby notified that a formal complaint against you (statement of objections to your reinstatement) has been filed by the Oregon State Bar, a copy of which formal complaint (statement of objections) is attached hereto and served upon you herewith. You are further notified that you may file with the Disciplinary Board Clerk, with a service copy to Disciplinary Counsel, your verified answer within fourteen (14) days from the date of service of this notice upon you. In case of your default in so answering, the formal complaint (statement of objections) shall be heard and such further proceedings had as the law and the facts shall warrant.

(The following paragraph shall be used in a disciplinary proceeding only:)

You are further notified that an attorney or LP accused of misconduct may, in lieu of filing an answer, elect to file with Disciplinary Counsel of the Oregon State Bar, a written resignation from membership in the Oregon State Bar. Such a resignation must comply with BR 9.1 and be in the form set forth in BR 12.7. You should consult an attorney of your choice for further information about resignation.

The address of the Oregon State Bar is 16037 S.W. Upper Boones Ferry Road, Tigard, Oregon 97224, or by mail at P. O. Box 231935, Tigard, Oregon 97281-1935.

DATED this ____ day of ____, 20__.

OREGON STATE BAR

By:

Disciplinary Counsel

(Rule 12.2 amended by Order dated February 5, 2001.)

(Rule 12.2 amended by Order dated April 26, 2007.)

(Rule 12.2 amended by Order dated March 20, 2008.)

(Rule 12.2 amended by Order dated October 19, 2009.)

(Former Rule 12.2 redesignated as Rule 13.2; Rule 13.2 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 13.2 amended by Order dated August 17, 2022, effective July 1, 2023.)

Rule 13.3 Answer.

The answer of the respondent (applicant) shall be in substantially the following form:

(Heading as in complaint/statement of objections)

ANSWER

_____, (name of respondent (applicant)), whose residence address is _____, in the County of _____, State of Oregon, and who maintains his [her] principal office for the practice of law or other business at _____

Current versions of this document are maintained on the OSB website: www.osbar.org

_____, in the County of _____, State of Oregon, answers the formal complaint (statement of objections) in the above-entitled matter as follows:

1.

Admits the following matters charged in the formal complaint (statement of objections) as follows:

2.

Denies the following matters charged in the formal complaint (statement of objections) as follows:

3.

Explains or justifies the following matters charged in the formal complaint (statement of objections).

4.

Sets forth new matter and other defenses not previously stated, as follows:

5.

WHEREFORE, the accused (applicant) prays that the formal complaint (statement of objections) be dismissed.

DATED this ___ day of ___, 20__.

RESPONDENT (APPLICANT)
Attorney for Respondent (Applicant)

I hereby declare that the above statement is true to the best of my knowledge and belief, and that I understand it is made for use as evidence in the trial panel hearing and is subject to penalty for perjury.

RESPONDENT (APPLICANT)

(Former Rule 12.3 redesignated as Rule 13.3; Rule 13.3 amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 13.4 [Reserved for expansion]

(Rule 12.4 repealed by Order dated July 22, 1991.)

(Former Rule 12.4 redesignated as Rule 13.4 by Order dated May 3, 2017, effective January 1, 2018.)

Rule 13.5 Statement of Objections To Reinstatement.

In a contested reinstatement proceeding, the statement of objections shall be in substantially the following form:

**IN THE SUPREME COURT
OF THE STATE OF OREGON**

In The Matter Of The)	
Application of)	STATEMENT
_____)	OF
For Reinstatement as)	OBJECTIONS
an Active Member)	TO
of the Oregon State Bar)	REINSTATEMENT

The Oregon State Bar objects to the qualifications of the Applicant for reinstatement on the ground and for the reason that the Applicant has not shown, to the satisfaction of the Board of Governors, that he [she] has the good moral character or general fitness required for readmission to practice law in Oregon, that his [her] readmission to practice law in Oregon will be neither detrimental to the integrity and standing of the Bar or the administration of justice, nor subversive to the public interest, or that he [she] is, in all respects, able and qualified, by good moral character and otherwise, to accept the obligations and faithfully perform the duties of an attorney in Oregon, in one or more of the following particulars:

1.

The Applicant does not possess good moral character or general fitness to practice law, in that the Applicant, _____(state the facts of the matter)

2.

(Same)

3.

(Same)

WHEREFORE, the Oregon State Bar requests that the recommendation of the Board of Governors to the Supreme Court of the State of Oregon in this matter be approved and adopted by the Court and that the application of the Applicant for reinstatement as an active member of the Oregon State Bar be denied.

DATED this ___ day of ___, 20__.

OREGON STATE BAR
By:
Disciplinary Counsel

*(Rule 12.5 amended by Order dated February 5, 2001.)
(Rule 12.5 amended by Order dated October 19, 2009.)
(Former Rule 12.5 redesignated as Rule 13.5 by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 13.5 amended by Order dated December 26, 2023, effective January 1, 2024.)*

Rule 13.6 Form A Resignation.

**IN THE SUPREME COURT
OF THE STATE OF OREGON**

In Re:)
(Name)) FORM A
RESIGNATION

I, _____, declare that my residence address is _____(No. and Street), _____(City), _____(State), _____(Zip Code), and that I hereby tender my resignation from membership in the Oregon State Bar and respectfully request and consent to my removal from the roster of those admitted to practice before the courts of this state and from membership in the Oregon State Bar.

I hereby certify that I am not charged in any jurisdiction with an offense that is a misdemeanor that may involve moral turpitude, a felony under the laws of this state, or a crime punishable by death or imprisonment under the laws of the United States.

I hereby certify that all client files and client records in my possession pertaining to active or current clients have been or will be placed promptly in the custody of _____, a resident

Oregon attorney, whose principal office address is _____, who has agreed to serve as custodian to take possession of the files and take such further action as necessary to protect the interests of the clients, and that all such clients have been or will be promptly notified accordingly, and that the following arrangements have been made with regard to client files and records pertaining to inactive or former clients, if any:

OR

I hereby certify that all client files and client records pertaining to active or current clients have been or will be placed promptly in the custody of the Professional Liability Fund, which has agreed to take possession of the files and take such further action as necessary to protect the interests of the clients, and that such clients have been or will be promptly notified accordingly, and that the following arrangements have been made with regard to client files and records pertaining to inactive or former clients, if any:

OR

I hereby certify that I have no client files or client records pertaining to active or current clients and that the following arrangements have been made with regard to client files and records pertaining to inactive or former clients, if any:

I agree to perform the duties of a resigned attorney set forth in BR 9.3 and that I may be held in contempt of court if I do not.

DATED at __, this ___ day of ___, 20__.

I HEREBY DECLARE THAT THE ABOVE STATEMENT IS TRUE TO THE BEST OF MY KNOWLEDGE AND BELIEF, AND THAT I UNDERSTAND IT IS MADE FOR USE AS EVIDENCE IN COURT AND IS SUBJECT TO PENALTY FOR PERJURY.

(Signature of Member)

I, _____, Chief Executive Officer of the Oregon State Bar, do hereby certify that there are no inquiries or grievances involving the above-name attorney under investigation by the Bar, no disciplinary proceedings are pending against the attorney, and the attorney is not suspended, disbarred, or on probation pursuant to BR 6.1 and BR 6.2.

DATED this _____ day of _____, 20__.

OREGON STATE BAR

By: _____

Chief Executive Officer

*(Former Rule 12.6 redesignated as Rule 13.6; Rule 13.6 amended by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 13.6 amended by Order dated May 22, 2019, effective September 1, 2019.)
(Rule 13.6 amended by Order dated December 26, 2023, effective January 1, 2024.)*

Rule 13.7 Form B Resignation.

**IN THE SUPREME COURT
OF THE STATE OF OREGON**

In Re:)
(Name)) FORM B
RESIGNATION

State of)
County of) ss

I, _____, being duly sworn on oath, depose and say that my principal office for the practice of law or other business is located at _____(Building No. and Name, if any, or Box No.), _____(Street address, if any), _____(City), _____(State), _____(Zip Code); that my residence address is _____(No. and Street), _____(City), _____(State), _____(Zip Code), and that I hereby tender my resignation from membership in the Oregon State Bar and request and consent to my removal from the roster of those admitted to practice before the courts of this state and from membership in the Oregon State Bar.

I am aware that there is pending against me a formal complaint concerning alleged misconduct and/or that complaints, allegations or instances of alleged misconduct by me are under investigation by the Oregon State Bar and that such complaints, allegations and/or instances include:

(List of formal complaints, proceedings or investigations pending.)

I do not desire to contest or defend against the above-described complaints, allegations or instances of alleged misconduct. I am aware of the rules of the Supreme Court and of the bylaws and rules of procedure of the Oregon State Bar with respect to admission, discipline, resignation and reinstatement of members of the Oregon State Bar. I understand that any future application by me for reinstatement as a member of the Oregon State Bar is currently barred by BR 9.4, but that should such an application ever be permitted in the future, it will be treated as an application by one who has been disbarred for misconduct, and that, on such application, I shall not be entitled to a reconsideration or reexamination of the facts, complaints, allegations or instances of alleged misconduct upon which this resignation is predicated. I understand that, on its filing in this court, this resignation and any supporting documents, including those containing the complaints, allegations or instances of alleged misconduct, will become public records of this court, open for inspection by anyone requesting to see them.

This resignation is freely and voluntarily made; and I am not being, and have not been, subjected to coercion or duress. I am fully aware of all the foregoing and any other implications of my resignation.

I hereby certify that all client files and client records in my possession pertaining to active or current clients have been or will be placed promptly in the custody of _____, a resident Oregon attorney, whose principal office address is _____, who has agreed to serve as custodian to take possession of the files and take such further action as necessary to protect the interests of the clients, and that all such clients have been or will be promptly notified accordingly, and that the following arrangements have been made with regard to client files and records pertaining to inactive or former clients, if any:

OR

I hereby certify that all client files and client records pertaining to active or current clients have been or will be placed promptly in the custody of the Professional Liability Fund, which has agreed to take possession of the files and take such further action as necessary to protect the interests of the clients, and that such clients have been or will be promptly notified accordingly, and that the following arrangements have been made with regard to client files and records pertaining to inactive or former clients, if any:

OR

I hereby certify that I have no client files or client records pertaining to active or current clients and that the

following arrangements have been made with regard to client files and records pertaining to inactive or former clients, if any:

I agree to perform the duties of a resigned attorney set forth in BR 9.3 and that I may be held in contempt of court if I do not.

DATED at __, this ___ day of __, 20__.

(Signature of Attorney)

Subscribed and sworn to before me this ___ day of __, 20__.

Notary Public for Oregon
My Commission Expires:

*(Rule 12.7 amended by Order dated June 5, 1997, effective July 1, 1997).
(Rule 12.7 amended by Order dated February 5, 2001.)
(Former Rule 12.7 redesignated as Rule 13.7 by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 13.7 amended by Order dated May 22, 2019, effective September 1, 2019.)
(Rule 13.7 amended by Order dated December 26, 2023, effective January 1, 2024.)*

Rule 13.8 Request for Review.

A request for review pursuant to BR 10.3 shall be in substantially the following form.

**IN THE SUPREME COURT
OF THE STATE OF OREGON**

In Re:)
) No. _____
)
[Complaint as to the)
Conduct of/Application for)
Admission as a Licensed)
Paralegal:])
_____)
[Respondent/Applicant]) REQUEST FOR
REVIEW

[The Respondent/The Oregon State Bar] hereby requests the Supreme Court to review the decision of the [Disciplinary Board trial panel/hearing panel] rendered on [date] in the above matter.

DATED this ___ day of __, 20__.

[signature of respondent or counsel]

*(Former Rule 12.8 redesignated as Rule 13.8; Rule 13.8 amended by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 13.8 amended by Order dated August 17, 2022, effective July 1, 2023.)*

Rule 13.9 Compliance Declaration.

A compliance declaration filed under BR 8.3 shall be in substantially the following form:

COMPLIANCE DECLARATION

In re: Application of

(Name of attorney) (Bar number)

For reinstatement as an active/inactive (circle one) member of the OSB.

1. Full name _____ Date of Birth _____

2. Residence address _____ Telephone _____

3. I hereby attest that during my period of suspension from the practice of law from _____ to _____, (insert dates) I did not at any time engage in the practice of law except where authorized to do so.

4. I also hereby attest that I complied as directed with the following terms of probation: (circle applicable items)

a. abstinence from consumption of alcohol and mind-altering chemicals/drugs, except as prescribed by a physician

b. attendance at Alcoholics Anonymous meetings

c. cooperation with Chemical Dependency Program

d. cooperation with State Lawyers Assistance Committee

e. psychiatric/psychological counseling

f. passed Multi-State Professional Responsibility exam

g. attended law office management counseling and/or programs

h. other - (please specify) _____

i. none required

I HEREBY DECLARE THAT THE ABOVE STATEMENT IS TRUE TO THE BEST OF MY KNOWLEDGE AND BELIEF, AND THAT I UNDERSTAND IT IS MADE FOR USE AS EVIDENCE IN COURT AND IS SUBJECT TO PENALTY FOR PERJURY.

(Name)

(Rule 12.9 established by Order dated March 13, 1989, effective April 1, 1989.)

(Rule 12.9 amended by Order dated February 5, 2001.)

(Former Rule 12.9 redesignated as Rule 13.9; Rule 13.9 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 13.9 amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 13.9 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 13.10 Compliance Declaration.

A compliance declaration filed under BR 7.1(g) shall be in substantially the following form:

COMPLIANCE DECLARATION

In re: Reinstatement of

(Name of attorney) (Bar number)

For reinstatement as an active/inactive (circle one) member of the OSB.

1. Full name _____ Date of Birth _____

2. Residence address _____ Telephone _____

3. I hereby attest that during my period of suspension from the practice of law from _____ to _____, (insert dates)

I did not at any time engage in the practice of law except where authorized to do so

OR

I engaged in the practice of law under the circumstances described on the attached [attach an explanation of activities relating to the practice of law during suspension].

4. I also hereby attest that I responded to the requests for information or records by Disciplinary Counsel and have complied with any subpoenas issued by Disciplinary Counsel, or provided good cause for not complying to the request.

I HEREBY DECLARE THAT THE ABOVE STATEMENT IS TRUE TO THE BEST OF MY KNOWLEDGE AND BELIEF, AND THAT I UNDERSTAND IT IS MADE FOR USE AS EVIDENCE IN COURT AND IS SUBJECT TO PENALTY FOR PERJURY.

(Name)

(Rule 12.10 established by Order dated August 12, 2013, effective November 1, 2013.)

(Former Rule 12.10 redesignated as Rule 13.10; Rule 13.10 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 13.10 amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 13.10 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rules of Procedure

(As approved by the Supreme Court by order dated February 9, 1984 and as amended by Supreme Court orders dated April 18, 1984; May 31, 1984; July 16, 1984; July 27, 1984; November 1, 1984; June 25, 1985; July 8, 1985; July 22, 1985; November 29, 198; January 2, 1986; January 24, 1986; March 20, 1986; September 10, 1986; June 30, 1987; September 24, 1987; October 1, 1987; November 10, 1987; November 24, 1987; December 10, 1987; January 5, 1988; February 22, 1988; February 23, 1988; July 8, 1988; March 13, 1989; March 31, 1989; June 1, 1989; March 20, 1990; October 1, 1990; January 10, 1991; April 4, 1991; July 22, 1991; August 2, 1991; January 17, 1992; December 22, 1992; June 29, 1993; December 13, 1993; December 28, 1993; October 10, 1994; May 15, 1995; November 6, 1995; December 14, 1995; September 30, 1996; June 5, 1997; August 19, 1997, effective October 4, 1997; October 3, 1997; July 10, 1998; November 30, 1999; February 5, 2001; June 28, 2001; September 6, 2001; June 17, 2003, effective July 1, 2003; July 9, 2003, effective August 1, 2003; June 17, 2003, effective, January 1, 2004; December 8, 2003, effective January 1, 2004; December 9, 2004, effective January 1, 2005; January 21, 2005; April 26, 2007; August 29, 2007; January 17, 2008; March 20, 2008; October 19, 2009; January 1, 2011; December 10, 2010, effective June 1, 2011; July 21, 2011; June 6, 2012; April 5, 2013; August 13, 2013, effective November 1, 2013); August 10, 2015; May 3, 2017, effective January 1, 2018; May 22, 2019, effective September 1, 2019; October 27, 2019, effective December 1, 2019; January 9, 2020, effective January 15, 2020; October 15, 2020, effective November 14, 2020; December 8, 2020; January 26, 2021; November 22, 2021; August 17, 2022, effective July 1, 2023; October 31, 2022, effective November 1, 2022; December 14, 2022, effective January 1, 2023; August 1, 2023; and December 26, 2023, effective January 1, 2024.)

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Title 1 — General Provisions

Rule 1.1 Definitions.

In these rules, unless the context or subject matter requires otherwise:

- (a) “Adjudicator” means the Disciplinary Board statewide adjudicator, one or more of whom is appointed by the Supreme Court to chair all trial panels and any attorney appointed to serve in the Adjudicator’s role in a particular proceeding pursuant to BR 2.4(~~fe~~)(14) or BR 2.4(~~fg~~)(2).
- (b) “Applicant” means an applicant for reinstatement to the practice of law in Oregon.
- (c) “Attorney” means a person who has been admitted to the practice of law in Oregon.
- (d) “Bar” means Oregon State Bar created by the Bar Act.
- (e) “Bar Act” means ORS Chapter 9.
- (f) “Bar Counsel” means counsel appointed by Disciplinary Counsel to represent the Bar.
- (g) “BBX” means Board of Bar Examiners appointed by the Supreme Court.
- (h) “Board” means Board of Governors of the Bar.
- (i) “Chief Executive Officer” means the chief administrative employee of the Bar.
- (j) “Intake Office” means a department designated by the Bar separate from Disciplinary Counsel that reviews and responds to inquiries from the public about the conduct of attorneys and LPs.
- (k) “Complainant” means a person who question or raises concerns about the conduct of an attorney or LP through the Intake Office.
- (l) “Contested Admission” means a proceeding in which the BBX is objecting to the admission of an applicant to the practice of law after a character review proceeding.
- (m) “Contested Reinstatement” means a proceeding in which the Bar is objecting to the reinstatement of an attorney or a former attorney or LP or former LP to the practice of law.
- (n) “Disciplinary Board” means the board appointed by the Supreme Court to hear and decide disciplinary and contested reinstatement proceedings pursuant to these rules.
- (o) “Disciplinary Board Clerk” means the person or persons designated in General Counsel’s Office of the Bar to receive and maintain records of disciplinary and reinstatement proceedings on behalf of the Disciplinary Board.
- (p) “Disciplinary Counsel” means disciplinary counsel retained or employed by, and in the office of, the Bar and shall include such assistants as are from time to time employed by the Bar to assist disciplinary counsel.
- (q) “Disciplinary proceeding” means a proceeding in which the Bar is charging an attorney or LP with misconduct in a formal complaint.
- (r) “Examiner” means a member of the BBX.
- (s) “Formal complaint” means the document that initiates a formal lawyer or LP discipline proceeding alleging misconduct and violations of disciplinary rules or statutory provisions.
- (t) “General Counsel” means the General Counsel of the Bar or their designee.
- (u) “Grievance” means an instance of alleged misconduct by an attorney or LP that may be

investigated by the Intake office or Disciplinary Counsel.

(v) “Inquiry” means a communication received by the Intake Office pertaining to an attorney or LP that may or may not allege professional misconduct.

(w) “Licensed Paralegal” or “LP” means a person who has been admitted to practice in Oregon under a Licensed Paralegal license.

(x) “Misconduct” means any conduct which may or does subject an attorney or LP to discipline under the Bar Act or the rules of professional conduct adopted by the Supreme Court.

(y) “Regulatory Counsel” means regulatory counsel retained or employed by, and in the office of, the Bar and shall include such assistants as are from time to time employed by the Bar to assist regulatory counsel.

(z) “Respondent” means an attorney or LP who is charged with misconduct by the Bar in a formal complaint or who is the subject of proceedings initiated pursuant to BR 3.1, BR 3.2, BR 3.3, BR 3.4, or BR 3.5.

~~(z)~~(aa) “Rule of Licensure” or “RL” means the corresponding Rules of Licensure enacted by the Oregon Supreme Court applicable to all members of the Bar.

~~(aa)~~(bb) “Rule of Professional Conduct” means the corresponding Rules of Professional Conduct for attorneys, or the Rules of Professional Conduct for Licensed Paralegals for LPs.

~~(bb)~~(cc) “State Court Administrator” means the person who holds the office created pursuant to ORS 8.110.

(cc) “Supreme Court” and “court” mean the Oregon Supreme Court.

(dd) “SPRB” means the State Professional Responsibility Board appointed by the Supreme Court.

(ee) “Trial Panel” means a three-member panel of the Disciplinary Board.

(ff) “Unlawful Practice of Law Committee” means the committee appointed by the Supreme Court to carry out the committee’s functions on behalf of the Bar pursuant to ORS 9.164.

(Rule 1.1 amended by Order dated November 10, 1987.)

(Rule 1.1(c) amended by Order dated February 23, 1988.)

(Rule 1.1(i) and (k) amended by Order dated July 22, 1991.)

(Rule 1.1(l) through (w) amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 1.1(b) and (i) amended by Order dated October 19, 2009.)

(Former Rule 1.1(a), (p), and l deleted; former Rule 1.1(i), (j), (k), (l), (m), (n), (o), (q), (s), (t), (u), (v), and (w) redesignated as Rule 1.1(l), (m), (n), (o), (p), (q), (r), (s), (w), (y), (z), (aa), and (bb); Rule 1.1(q), (s), (z), and (aa) amended; Rule 1.1(a), (i), (j), (k), (x), and (cc) added by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 1.1(a) amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 1.1(x) added and Rule 1.1 (x), (y), (z), (aa), (bb), and (cc) redesignated as Rule 1.1(y), (z), (aa), (bb), (cc), and (dd) by Order dated December 8, 2020.)

(Rule 1.1(j), (k), (m), (q), (s), and former Rules 1.1 (w) and (y) amended; Rule 1.1(2) added; former Rules 1.1 (w) through (dd) redesignated to Rule 1.1 (x) through (ee) by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 1.1(ff), (j), (k), (t), (u), (v), and (aa) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 1.2 Authority.

These “Rules of Procedure” are adopted by the Board and approved by the Supreme Court pursuant to ORS 9.005(8) and ORS 9.542, and govern exclusively the proceedings contemplated in these rules except to the extent that specific reference is made herein to other rules or statutes. These rules may be amended or repealed and new rules may be adopted by the Board at any regular meeting or at any special meeting called

for that purpose. No amendment, repeal or new rule shall become effective until approved by the Supreme Court.

(Rule 1.2 amended by Order dated June 5, 1997, effective July 1, 1997.)

(Rule 1.2 amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 1.3 Nature of Proceedings.

Disciplinary and contested reinstatement proceedings are neither civil nor criminal in nature but are sui generis, and are designed as the means to determine whether an attorney or LP should be disciplined for misconduct, or whether an applicant's conduct should preclude the applicant from being reinstated to membership in the Bar.

(Rule 1.3 amended by Order dated October 19, 2009.)

(Rule 1.3 amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 1.3 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 1.4 Jurisdiction; Choice of Law.

(a) Jurisdiction after Adoption of Rules of Professional Conduct. Conduct occurring on or after January 1, 2005, by an attorney or LP is governed by Rule of Professional Conduct 8.5.

(b) Jurisdiction. For conduct occurring on or before December 31, 2004, an attorney admitted to the practice of law in Oregon, and any attorney specially admitted by a court or agency in Oregon for a particular case, is subject to the Bar Act and these rules, regardless of where the attorney's conduct occurs. The Supreme Court's jurisdiction over matters involving the practice of law by an attorney shall continue whether or not the attorney or LP retains the authority to practice law in Oregon, and regardless of the residence of the attorney or LP. An attorney may be subject to the disciplinary authority of both Oregon and another jurisdiction in which the attorney is admitted for the same conduct.

(c) Choice of Law. In any exercise of the disciplinary authority of Oregon involving conduct occurring on or before December 31, 2004, the rules of professional conduct to be applied shall be as follows:

(1) For conduct in connection with a proceeding in a court before which an attorney or LP has been admitted to practice, either generally or for purposes of that proceeding, the rules to be applied shall be the rules of the jurisdiction in which the court sits, unless the rules of the court provide otherwise; and

(2) For any other conduct,

(A) If the attorney is licensed to practice only in Oregon, the rules to be applied shall be the Oregon Code of Professional Responsibility and the Bar Act; and

(B) If the attorney is licensed to practice in Oregon and another jurisdiction, the rules to be applied shall be the rules of the jurisdiction in which the attorney principally practices; provided, however, that if particular conduct clearly has its predominant effect in another jurisdiction in which the attorney is licensed to practice, the rules of that jurisdiction shall be applied to that conduct.

(Rule 1.4 amended by Order dated September 30, 1996.)

(Rule 1.4(c) added by Order dated April 26, 2007.)

(Rule 1.4(c) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 1.4(a) through (c) amended by Order dated August 17, 2022, effective July 1, 2023.)

Rules 1.4(c) moved and amended to new section (a); former provisions (a) and (b) amended and redesignated as (b) and (c) by Order dated December 26, 2023, effective January 1, 2024.)

Rule 1.5 Effective Date.

(a) These rules apply to all disciplinary and contested reinstatement proceedings initiated by the service of a
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formal complaint or statement of objections on a respondent or an applicant on or after January 1, 1984.

(b) The provisions of BR 1.5(a) apply except to the extent that in the opinion of the Supreme Court their application in a particular matter or proceeding would not be feasible or would work an injustice. In that event, the former or current rule most consistent with the fair and expeditious resolution of the matter or proceeding under consideration shall be applied.

(Rule 1.5(a) amended by Order dated July 22, 1991.)

(Rule 1.5(a) amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 1.5(a) and (b) amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 1.6 Citation of Rules.

These Rules of Procedure may be referred to as Bar Rules and cited, for example, as BR 1.1(a).

(Rule 1.6 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 1.7 Bar Records.

(a) Property of Bar. The records of the Bar and of its officers, governors, employees and committees, in contested admission, disciplinary and reinstatement proceedings are the property of the Bar.

(b) Public Records Status. Except as exempt or protected by law from disclosure, the records of the Bar relating to contested admission, disciplinary, and reinstatement proceedings are available for public inspection.

Rule 1.8 Service Methods.

(a) Except as provided in Rule 4.2 and Rule 8.9, any pleading or document required under these rules to be served on a respondent, applicant, attorney, or LP shall be

(1) Sent to the respondent, applicant, attorney, or LP, or their attorney if the respondent, applicant, attorney, or LP is represented, by first class mail addressed to the intended recipient at the recipient's last designated business or residence address on file with the Bar, or

(2) Sent to the respondent, applicant, attorney, or LP or their attorney if the respondent, applicant, or attorney is represented, by email addressed to the intended recipient at the recipient's last designated email address on file with the Bar.

(b) Any pleading or document required under these rules to be served on the Bar shall be sent by first class mail addressed to Disciplinary Counsel at the Bar's business address or served by personal or office service as provided in ORCP 7 D(2)(a)-(c) or sent by email addressed to the intended recipient at the recipient's last designated email address on file with the Bar.

(c) A copy of any pleading or document served on Bar Disciplinary Counsel shall also be provided to Bar Counsel, if one has been appointed, by first class mail addressed to their last designated business address on file with the Bar or by personal or office service as provided in ORCP 7 D(2)(a)-(c) or sent by email addressed to the intended recipient at the recipient's last designated email address on file with the Bar.

(d) Service by mail shall be complete on deposit in the mail except as provided in BR 1.12.

(e) The parties may by mutual agreement serve any document other than the formal complaint and answer by email delivery to the email address identified in the Bar's membership records for the respondent, applicant, or attorney or LP, or their attorney if represented.

(Rule 1.8 amended by Order dated June 30, 1987.)

(Rule 1.8(a) amended by Order dated February 23, 1988.)

(Rule 1.8(a), (b) and (c) amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 1.8(d) amended by Order dated April 26, 2007.)

(Rule 1.8(a) amended by Order dated August 12, 2013, effective November 1, 2013.)

(Rule 1.8(a), (b), (c) amended; Rule 1.8(e) added by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 1.8(a)(1), (a)(2), (b), and (c) amended by Order dated November 22, 2021.)
(Rule 1.8(a) and (e) amended by Order dated August 17, 2022, effective July 1, 2023.)
(Rule 1.8(a), (c), (e) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 1.9 Time.

In computing any period of time prescribed or allowed by these rules, the day of the act, event or default from which the designated period of time begins to run shall not be included. The last day of the period so computed shall be included unless it is a Saturday or a legal holiday, in which event the period runs until the end of the next day that is not a Saturday or legal holiday. As used in this rule, "legal holiday" means legal holiday as defined in ORS 187.010 (which includes each Sunday) and ORS 187.020.

(Rule 1.9 amended by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 1.9 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 1.10 Filing.

(a) Any pleading or document to be filed with the Disciplinary Board Clerk shall be delivered in person to the Disciplinary Board Clerk, Oregon State Bar, 16037 S.W. Upper Boones Ferry Road, Tigard, Oregon 97224, or by mail to the Disciplinary Board Clerk, Oregon State Bar, P. O. Box 231935, Tigard, Oregon 97281-1935 or by email to dbclerk@osbar.org. Any pleading or document to be filed with the Supreme Court shall be delivered to the State Court Administrator, Appellate Courts Records Section, 1163 State Street, Salem, Oregon 97301-2563, consistently with the requirements of the Oregon Rules of Appellate Procedure, including Chapter 16 (filing and service by electronic means). Any pleading or document to be filed with the Adjudicator or a regional chair shall be delivered to the intended recipient at their last designated business or residence address on file with the Bar, or by email address on file with the Bar.

(b) Filing by mail is complete on deposit in the mail in the following circumstances: All pleadings or documents, including requests for review, required to be filed within a prescribed time, if mailed on or before the due date by first class mail through the United States Postal Service.

(c) If filing is not done as provided in subsection (b) of this rule, the filing is not timely unless the pleading or document is actually received by the intended recipient within the time fixed for filing.

(d) A copy of any pleading or document filed under these Rules must also be served by the party or attorney delivering it on other parties to the case by first class mail through the United States Postal Service or by email to the address on file with the Bar. All service copies must include a certificate showing the date of filing. "Parties" for the purposes of this rule shall be the respondent or applicant, or their attorney if represented; Disciplinary Counsel; and Bar Counsel, if any.

(e) Proof of service shall appear on or be affixed to any pleading or document filed. Such proof shall be either an acknowledgement of service by the person served or be in the form of a statement of the date of personal delivery or deposit in the mail or email and the names and addresses of the persons served, certified by the person who has made service.

(Rule 1.10 amended by Order dated June 30, 1987.)
(Rule 1.10(d) amended by Order dated February 23, 1988.)
(Rule 1.10(d) amended by Order dated February 5, 2001.)
(Rule 1.10(a), (b), (d) and (e) amended by Order dated June 17, 2003, effective July 1, 2003.)
(Rule 1.10(a) amended by Order dated April 26, 2007.)
(Rule 1.10(a) amended by Order dated March 20, 2008.)
(Rule 1.10(f) added by Order dated October 19, 2009.)
(Rule 1.10(a), (b), (c), (d) amended; Rule 1.10(f) deleted by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 1.10(a), (d), and (e) amended by Order dated November 22, 2021.)
(Rule 1.10(a) and (d) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 1.11 ~~Designation of Contact Information~~Service by Email.

~~Service on attorneys and LPs may be effectuated by emailing documents or pleadings to the email address an attorney or LP has on file with the Bar pursuant to RL 2.4(4), unless the attorney or LP has obtained an exemption from the CEO allowing the member not to have an email address on file with the Bar.~~

~~(a) All attorneys and LPs must designate, on a form approved by the Bar, a current business address and telephone number, or if no business address is available, a post office or residential address and telephone number. A post office address designation must be accompanied by the county and state in which the lawyer or LP is geographically located.~~

~~(b) All attorneys and LPs must also designate an e-mail address for receipt of bar notices and correspondence except (i) attorneys and LPs whose status is retired and (ii) attorneys and LPs for whom reasonable accommodation is required by applicable law.~~

~~(c) An attorney or LP seeking an exemption from the e-mail address requirement in paragraph (b)(ii) must submit a written request to the Chief Executive Officer, whose decision on the request will be final.~~

~~(d) It is the duty of all attorneys and LPs promptly to notify the Bar in writing of any change in his or her contact information. A new designation is not effective until actually received by the Bar.~~

(Rule 1.11 amended by Order dated April 18, 1984, effective June 1, 1984. Amended by Order dated June 30, 1987.)

(Rule 1.11(a) and (b) amended by Order dated August 23, 2010, effective January 1, 2011.)

(Rule 1.11(a) amended, (b) and (c) added and former (b) now (d) redesignated by Order dated July 21, 2011.)

(Rule 1.11(a), (b), (c), and (d) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 1.11(a) amended by Order dated January 26, 2021.)

(Rule 1.11 amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 1.11 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 1.12 Service of Bar Pleadings or Documents on Out-of-State Attorney or LP.

(a) If an attorney or LP has designated to the Bar an address that is not located within the State of Oregon, a formal complaint filed under BR 4.1 or a statement of objections filed under BR 8.9 may be:

- (1) personally served upon the attorney or LP; or
- (2) served on the attorney or LP by certified mail, return receipt requested, to the attorney's or LP's last designated address on file with the Bar, in which case service shall be complete on the date on which the attorney or LP signs a receipt for the mailing.

(b) If service under either BR 1.12(a)(1) or BR 1.12(a)(2) is attempted but cannot be completed, a formal complaint or a statement of objections may be served on the attorney or LP by first class mail to the attorney's or LP's last designated address on file with the Bar, in which case service shall be complete seven days after such mailing. Proof of such service by mail shall be by certificate showing the date of deposit in the mail.

(c) Service of all other pleadings or documents on an attorney or LP who has designated an address that is not located within the State of Oregon shall comply with BR 1.8(a).

(Rule 1.12 amended by Order dated April 18, 1984, effective June 1, 1984. Amended by Order dated June 30, 1987.)

(Rule 1.12 amended by Order dated April 26, 2007.)

(Rule 1.12(a) and (c) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 1.12 amended by Order dated August 17, 2022, effective July 1, 2023.)

Rule 1.12 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 1.13 Electronic Signature and Submission.

(a) For purposes of this rule, "Form" means only a form made available by the Bar on its website for electronic

submission to the Bar through the Bar’s website and “filer” means the attorney using the Form and self-identified in the completed Form.

As to any Form obtainable or accessible only by means of a login, the use of a filer’s login constitutes the signature of the filer for purposes of these rules and for any other purpose for which a signature is required. In lieu of a signature, the document shall include an electronic symbol intended to substitute for the signature, such as a scan of the filer’s handwritten signature or a signature block that includes the typed name of the filer preceded by an “s” in the space where the signature would otherwise appear. Example of a signature block with “s/”:

s/ Jane Q. Attorney or LP
 JANE Q. ATTORNEY or LP
 OSB # _____
 Email address _____

(b) When a Form requires a signature under penalty of perjury, in addition to signing and submitting the Form electronically, the filer shall sign a printed version of the Form and retain the signed Form in its original paper form for no less 30 days.

(c) An attorney or LP may submit a Form through the Bar’s website at any time, except when the Bar’s electronic filing system is temporarily unavailable.

(d) Filing a Form pursuant to this rule shall be deemed complete at the time of electronic submission.

(Rule 1.13 added by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 1.13(b) and (d) amended by Order dated August 17, 2022, effective July 1, 2023.)

Rule 1.14 Declarations May Replace Affidavits.

With the exception of the requirement contained in BR 13.7, Form B Resignation, all Bar Rules of Procedure that require documents or pleadings be supported by a notarized affidavit are amended to allow parties, as an alternative to notarization, to support the documents or pleadings with a declaration that includes the following language:

“I HEREBY DECLARE THAT THE ABOVE STATEMENT IS TRUE TO THE BEST OF MY KNOWLEDGE AND BELIEF, AND I UNDERSTAND IT IS MADE FOR USE AS EVIDENCE IN COURT AND IS SUBJECT TO PENALTY FOR PERJURY.”

(Rule 1.14 added by Order dated November 22, 2021.)

Title 2 — Structure And Duties

Rule 2.1 Qualifications of Counsel.

(a) Definition of Respondent. Notwithstanding BR 1.1(a), for the purposes of this rule, “respondent” means an attorney or LP who is the subject of an allegation of misconduct that is under investigation by the Bar, or who has been charged with misconduct by the Bar in a formal complaint.

(b) Bar Counsel. Any attorney admitted to practice law at least three years in Oregon may serve as Bar Counsel unless the attorney:

- (1) currently represents any respondent or applicant;
- (2) is a current member of the Disciplinary Board or has a firm member currently serving on the Disciplinary Board;
- (3) served as a member of the Disciplinary Board at a time when the formal complaint against the respondent was filed.

(c) Counsel for Respondent. Any attorney admitted to practice law in Oregon may represent a respondent unless the attorney:

- (1) is a current member of the Board or the SPRB;
- (2) served as a member of the Board or the SPRB at a time when the allegations about which the respondent seeks representation were under investigation by the Bar or were authorized to be charged in a formal complaint;
- (3) currently is serving as Bar Counsel;
- (4) is a current member of the Disciplinary Board or has a firm member currently serving on the Disciplinary Board;
- (5) served as a member of the Disciplinary Board at a time when the formal complaint against the respondent was filed.

(d) Counsel for Applicant. Any attorney admitted to practice law in Oregon may represent an applicant unless the attorney:

- (1) is a current member of the Board, the BBX, or the SPRB;
- (2) served as a member of the Board, the BBX, or the SPRB at a time when the investigation of the reinstatement application was conducted by the Bar;
- (3) currently is serving as Bar Counsel;
- (4) is a current member of the Disciplinary Board or has a firm member currently serving on the Disciplinary Board;
- (5) served as a member of the Disciplinary Board at a time when the statement of objections against the applicant was filed.

(e) Vicarious Disqualification. The disqualifications contained in BR 2.1(b), (c), and (d) also apply to firm members of the disqualified attorney's firm.

(f) Exceptions to Vicarious Disqualification.

- (1) Notwithstanding BR 2.1(b), (c), and (d), an attorney may serve as Bar Counsel or represent a respondent or applicant even though a firm member is currently serving on the Disciplinary Board, provided the firm member recuses himself or herself from participation as a trial panel member or regional chairperson in any matter in which a member of the firm is Bar Counsel or counsel for a respondent or applicant.
- (2) Subject to the provisions of RPC 1.7, and notwithstanding the provisions of BR 2.1(b), (c), and (d), an attorney may serve as Bar Counsel or represent a respondent or applicant even though a firm member is currently serving as Bar Counsel or representing a respondent or applicant, provided firm members are not opposing counsel in the same proceeding.
- (3) Notwithstanding BR 2.1(b), (c), and (d), an attorney in a Board member's firm may represent a respondent provided the Board member is screened from any form of participation or representation in the matter. To ensure such screening:
 - (A) The Board member shall prepare and file an affidavit with the Chief Executive Officer attesting that, during the period their firm is representing a respondent, the Board member will not participate in any manner in the matter or the representation and will not discuss the matter or representation with any other firm member;
 - (B) The Board member's firm shall also prepare and file an affidavit with the Chief Executive Officer

attesting that all firm members are aware of the requirement that the Board member be screened from participation in or discussion of the matter or representation;

(C) The Board member and firm shall also prepare, at the request of the Chief Executive Officer, a compliance affidavit describing the Board member's and the firm's actual compliance with these undertakings;

(D) The affidavits required under subsections (A) and (B) of this rule shall be filed with the Chief Executive Officer no later than fourteen (14) days following the acceptance by a Board member's firm of a respondent as a client, or the date the Board member becomes a member of the Board.

(g) Investigators. Disciplinary Counsel may, from time to time, appoint a suitable person, or persons, to act as an investigator, or investigators, for the Bar with respect to grievances, allegations, or instances of alleged misconduct by attorneys or LPs, and matters of reinstatement of attorneys or LPs. Such investigator or investigators shall perform such duties in relation thereto as may be required by Disciplinary Counsel.

(Rule 2.1(b) amended by Order dated May 31, 1984, July 27, 1984, nunc pro tunc May 31, 1984.)

(Rule 2.1 amended by Order dated June 30, 1987.)

(Rule 2.1 amended by Order dated October 1, 1990.)

(Rule 2.1(d) amended by Order dated November 6, 1995.)

(Rule 2.1 deleted and new Rule 2.1 added by Order dated October 3, 1997.)

(Rule 2.1(f)(2) amended by Order dated April 26, 2007.)

(Rule 2.1(d)(2), 2.1(f)(3), 2.1(f)(3)(A), and 2.1(f)(3)(D) amended by Order dated October 19, 2009.)

(Former Rule 2.1(c)(3) and 2.1(c)(4) deleted; former Rule 2.1(c)(5), 2.1(c)(6), and 2.1(c)(7) redesignated Rule 2.1(c)(3), 2.1(c)(4), and 2.1(c)(5); Rule 2.1(a), 2.1(b)(1), 2.1(b)(2), 2.1(b)(3), 2.1(c), 2.1(c)(2), 2.1(c)(3), 2.1(c)(4), 2.1(c)(5), 2.1(d)(4), 2.1(e), 2.1(f)(1), 2.1(f)(2), 2.1(f)(3), 2.1(f)(3)(A), 2.1(f)(3)(B), 2.1(f)(3)(C), and 2.1(f)(3)(D) amended; and Rule 2.1(g) added by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 2.1(a) and (g) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 2.1(f)(A) and (D) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 2.2 Disciplinary Counsel.

(a) Appointment. Disciplinary Counsel is retained and employed by the Bar.

(b) Duties.

(1) Disciplinary Counsel shall review and investigate, as appropriate, allegations or instances of alleged misconduct on the part of attorneys or LPs, including grievances referred by the Intake Office or the General Counsel and matters arising out of notifications from financial institutions that an instrument drawn against an attorney's or LP's Lawyer Trust Account has been dishonored. In the absence of a grievance or notification through these channels, Disciplinary Counsel may initiate investigation of the conduct of an attorney or LP based upon reasonable belief that misconduct has occurred, that an attorney or LP is disabled from continuing to practice law, or that an attorney or LP has abandoned a law practice or died leaving no attorney or LP who has undertaken the responsibility of either managing or winding down the law practice.

(2) Disciplinary Counsel has authority to issue and seek the enforcement of subpoenas to compel the attendance of witnesses, including the attorney or LP being investigated, and the production of books, papers, documents, and other records pertaining to the matter under investigation. Subpoenas issued pursuant to this rule may be enforced by application to any circuit court. The circuit court shall determine what sanction to impose, if any, for noncompliance.

(3) For those grievances not dismissed pursuant to BR 2.6(b), Disciplinary Counsel may, in its

discretion, offer diversion pursuant to BR 2.10.

(4) Disciplinary Counsel shall provide advice and counsel to the SPRB on the disposition of all grievances neither dismissed pursuant to BR 2.6(b) nor resolved by diversion pursuant to BR 2.10.

(5) Disciplinary Counsel shall seek, as appropriate, relief provided for in BR 3.1, 3.2, 3.3, 3.4, and 3.5.

(6) Disciplinary Counsel shall prosecute formal proceedings as directed by the SPRB, including any review or other proceeding before the Supreme Court.

(7) Disciplinary Counsel shall represent the Bar in all contested reinstatement proceedings.

(8) Disciplinary Counsel shall represent the Bar before the court in all contested admission proceedings.

(Rule 2.2 amended by Order dated October 19, 2009.)

(Former Rule 2.2 deleted; current Rule 2.2 added by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 2.2(b)(2) amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 2.2(b)(1) and (b)(2) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 2.2(b)(1) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 2.3 State Professional Responsibility Board.

(a) Appointment. Members of the SPRB are nominated by the Board and appointed by the Supreme Court. The SPRB shall be composed of eight resident attorneys and two members of the public who are not attorneys. Two attorney members shall be from Board Region 5 and one attorney member shall be from each of the remaining Board regions located within the state of Oregon. The public members shall be at-large appointees. Members of the SPRB shall be appointed for terms of not more than four years and shall serve not more than four years consecutively. Members are eligible for reappointment to a nonconsecutive term not to exceed four years. Each year the Board shall nominate and the court shall appoint one attorney member of the SPRB as chairperson. In the event the chairperson is unable to carry out any responsibility given to them by these rules, the chairperson may designate another attorney member of the SPRB to do so.

(b) Duties of SPRB. The SPRB shall supervise the investigation of grievances, allegations, or instances of alleged misconduct on the part of attorneys and LPs and act on such matters as it may deem appropriate. A grievance from a client or other aggrieved person shall not be a prerequisite to the investigation of alleged misconduct by attorneys or LPs or the institution of disciplinary proceedings against any attorney or LP.

(c) Authority.

(1) The SPRB has the authority to dismiss grievances, allegations, or instances of alleged misconduct against attorneys or LPs; refer matters to Disciplinary Counsel for further investigation; issue admonitions for misconduct; refer attorneys or LPs to the State Lawyers Assistance Committee; direct Disciplinary Counsel to institute disciplinary proceedings against any attorney or LP; or take other action within the discretion granted to the SPRB by these rules.

(2) The SPRB has the authority to adopt rules dealing with the handling of its affairs, subject to the Board's approval.

(d) Resignation and Replacement. The court may remove, at its discretion, or accept the resignation of, any officer or member of the SPRB and appoint a successor who shall serve the unexpired term of the member who is replaced.

(Rule 2.3(b)(3) amended by Order dated April 4, 1991, effective April 15, 1991.)

(Rule 2.3(b)(1) amended by Order dated April 4, 1991, effective October 7, 1991. Amended by Order dated June 5, 1997, effective July 1, 1997. Amended by Order dated February 5, 2001.)

(Rule 2.3(b)(1) amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 2.3(b)(3) amended by Order dated July 9, 2003, effective August 1, 2003.)

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(Rule 2.3(a) amended by Order dated December 8, 2003, effective January 1, 2004.)

(Rule 2.3(b)(1) amended by Order dated August 23, 2010, effective January 1, 2011.)

(Former Rule 2.3(a)(1), 2.3(a)(2)(A), 2.3(a)(2)(B), 2.3(a)(2)(C), 2.3(a)(2)(D), 2.3(a)(2)(E), 2.3(a)(2)(F), 2.3(a)(3)(A), 2.3(a)(3)(B), 2.3(a)(3)(C), 2.3(b), 2.3(b)(3)(C), 2.3(b)(3)(D), and 2.3(b)(3)(E) deleted; former Rule 2.3(b)(1), 2.3(b)(2), 2.3(b)(3), 2.3(b)(3)(A), 2.3(b)(3)(B), and 2.3(c) redesignated as Rule 2.3(a), 2.3(b), 2.3(c), 2.3(c)(1), 2.3(c)(2), and 2.3(d) by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 2.3(b) and (c)(1) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 2.3(a) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 2.4 Disciplinary Board.

(a) **Composition.** The Supreme Court appoints members of the Disciplinary Board. The Disciplinary Board shall consist of the Adjudicator, 7 regional chairpersons, and, for each Board region within the state of Oregon, the following additional attorney members and public members (who are not attorneys or LPs):

- (1) Region 1: 15 attorney members and 3 public members;
- (2) Region 2: 6 attorney members and 2 public members;
- (3) Region 3: 6 attorney members and 2 public members;
- (4) Region 4: 16 attorney members and 4 public members;
- (5) Region 5: 29 attorney members and 8 public members;
- (6) Region 6: 17 attorney members and 4 public members; and
- (7) Region 7: 6 attorney members and 2 public members.

(b) The regional chairpersons shall be attorneys. The attorney members of the Disciplinary Board, including the Adjudicator and the regional chairpersons, shall be resident attorneys admitted to practice in Oregon for at least 3 years. Except for the Adjudicator, members of each regional panel shall either maintain their principal office within their respective region or maintain their residence therein. The members of each region shall constitute a regional panel. Trial panels shall consist of the Adjudicator, 1 additional attorney member, and 1 public member, except as provided in BR 2.4(f)(32).

(c) **Term.**

(1) The Adjudicator shall serve pursuant to appointment of the court. Disciplinary Board members other than the Adjudicator shall serve terms of 3 years and may be reappointed. Regional chairpersons shall serve in that capacity for terms of 1 year, subject to reappointment by the court.

(2) Notwithstanding BR 2.4(a) and 2.4(b)(1), the powers, jurisdiction and authority of Disciplinary Board members other than the Adjudicator shall continue beyond the expiration of their appointment or after their relocation to another region for the time required to complete the cases assigned to them during their term of appointment or prior to their relocation, and until a replacement appointment has been made by the court. The regional chairpersons shall serve until a replacement appointment has been made by the court.

(d) **Resignation and Replacement.** The court may remove, at its discretion, or accept the resignation of, any member of the Disciplinary Board and appoint a successor. Any person so appointed to serve in a position that has time remaining in the unexpired term shall serve the time remaining in the unexpired term of the member who is replaced.

(e) **Conduct. Disqualifications and Suspension of Service.**

(1) Disciplinary Board members are subject to the Disciplinary Board Code of Conduct, including the rules for disqualifications contained in the Disciplinary Board Code of Conduct.

(2) The following individuals shall not serve on the Disciplinary Board:

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(A) A member of the Board or the SPRB shall not serve on the Disciplinary Board during the member's term of office. This disqualification also precludes an attorney or public member from serving on the Disciplinary Board while any member of their firm is serving on the Board or the SPRB.

(B) No member of the Disciplinary Board shall sit on a trial panel with regard to a subject matter considered by the Board or the SPRB while they were a member thereof or with regard to subject matter considered by any member of their firm while a member of the Board or the SPRB.

(3) A member of the Disciplinary Board against whom charges of misconduct have been approved for filing by the SPRB is suspended from service on the Disciplinary Board until those charges have been resolved by final decision or order. If a Disciplinary Board member is suspended from the practice of law as a result of a final decision or order in a disciplinary proceeding, the member may not resume service on the Disciplinary Board until the member is once again authorized to practice law. For the purposes of this rule, charges of misconduct include authorization by the SPRB to file a formal complaint pursuant to BR 4.1, the determination by the SPRB to admonish an attorney pursuant to BR 2.6(c)(1)(B) or BR 2.6(e)(1) which admonition is thereafter refused by the attorney, Disciplinary Counsel's notification to the court of a criminal conviction pursuant to BR 3.4(a), and Disciplinary Counsel's notification to the court of an attorney's discipline in another jurisdiction pursuant to BR 3.5(a).

(f) Duties of Adjudicator.

(1) The Adjudicator shall coordinate and supervise the activities of the Disciplinary Board.

(2) Unless disqualified after a challenge for cause pursuant to BR 2.4(gh), the Adjudicator shall serve as trial panel chairperson for each trial panel adjudicating a formal proceeding, a contested reinstatement proceeding, or a proceeding brought pursuant to BR 3.5; and shall preside in every proceeding brought pursuant to BR 3.1 or 3.4. Upon the stipulation of the Bar and a respondent or applicant, the Adjudicator shall serve as the sole adjudicator in a disciplinary proceeding, a contested reinstatement proceeding, or a proceeding brought pursuant to BR 3.5 and shall have the same duties and authority under these rules as a three-member trial panel. In the event the Adjudicator is disqualified or otherwise unavailable to serve as trial panel chairperson, the regional chairperson shall appoint another attorney member of the Disciplinary Board to serve on the trial panel, with all the duties and responsibilities as the Adjudicator as to that proceeding from the date of appointment forward.

(3) The Adjudicator shall rule on all motions for default filed pursuant to BR 5.8.

(4) The Adjudicator shall determine the timeliness of both peremptory challenges and challenges for cause, including challenges for cause as to the Adjudicator, and, as appropriate, grant or deny peremptory challenges and resolve all challenges for cause to the qualifications of all trial panel members other than the Adjudicator ~~appointed pursuant to BR 2.4(e)(2), BR 2.4(e)(9), and BR 2.4(f).~~

(5) Upon receipt of written notice from the Disciplinary Board Clerk of a Supreme Court referral pursuant to BR 8.8, the Adjudicator shall appoint an attorney member and a public member from an appropriate region to serve on the trial panel with the Adjudicator. The Adjudicator shall give written notice to Disciplinary Counsel, Bar Counsel, and the applicant of such appointments and a copy of the notice shall be filed with the Disciplinary Board Clerk.

(6) The Adjudicator shall appoint an attorney member of the Disciplinary Board to conduct prehearing conferences as provided in BR 4.6.

(7) The Adjudicator may appoint Disciplinary Board members from any region to conduct prehearing conferences pursuant to BR 4.6, to participate with the Adjudicator in a show cause hearing pursuant to BR 6.2(d), to serve on trial panels to resolve matters submitted to the Disciplinary Board for consideration by the court, or when an insufficient number of members is available within a region for a particular proceeding.

(8) Upon receiving notice from the Disciplinary Board Clerk of a regional chairperson's appointment of an

attorney member and a public member pursuant to BR 2.4(gf)(1), and upon determining that either no timely challenge pursuant to BR 2.4(hg) was filed or that a timely-filed challenge pursuant to BR 2.4(hg) has either been denied or resulted in the appointment of a substitute member or members, the Adjudicator shall promptly establish the date and time of hearing pursuant to BR 5.4 and notify, in writing, the Disciplinary Board Clerk and the parties of the date and place of hearing. The Disciplinary Board Clerk shall provide to the trial panel members a copy of the formal complaint or statement of objections and, if one has been filed, the answer of the respondent or applicant.

(9) The Adjudicator shall rule on all questions of procedure and discovery, including such questions that may arise prior to the filing of a formal complaint, except as specifically provided elsewhere in these rules. The Adjudicator may convene the parties or their counsel before the hearing, to discuss the parties' respective estimates of time necessary to present evidence, the availability and scheduling of witnesses, the preparation of trial exhibits, and other issues that may facilitate an efficient hearing. The Adjudicator may thereafter issue an order regarding agreements or rulings made at such prehearing meeting.

(10) The Adjudicator shall convene the trial panel hearing, oversee the orderly conduct of the same and timely file with the Disciplinary Board Clerk the written opinion of the trial panel. In all trial panels in which the Adjudicator is a member of the majority, the Adjudicator shall author the trial panel opinion. In the event the Adjudicator is not a member of the majority, the attorney member of the panel shall author and timely file the trial panel opinion.

(11) In matters involving final decisions of the Disciplinary Board under BR 10.1, the Adjudicator shall review statements of costs and disbursements and objections thereto and shall fix the amount of actual and necessary costs and disbursements to be recovered by the prevailing party.

(12) The Adjudicator shall preside in all matters involving the filing of a petition for suspension pursuant to BR 7.1.

(13) Upon appointment by the court, the Adjudicator shall perform the duties of the court set forth in BR 3.2.

(14) In the event of the Adjudicator's unavailability to perform the functions set forth above, and upon written request made by General Counsel, the regional chairperson shall exercise the duties and responsibilities of the Adjudicator during the Adjudicator's unavailability. The regional chairperson's authority under this subsection shall cease upon order of the Adjudicator or the court. Unavailability for the purposes of this rule means the Adjudicator has taken a planned leave of more than fourteen (14) days, or is unavailable because of death or then existing physical or mental illness or infirmity.

(15) Notwithstanding requirements for in-person proceedings contained in BR 3.1, 3.2, 3.4, 3.5, 5.3, and 8.8, the Adjudicator may order that any disciplinary hearings or proceedings take place by videoconference, or such other means that allow for remote participation of all parties, if the Adjudicator determines remote participation is necessary to comply with local, state, or national public health orders or recommendations. Such hearings or proceedings may also take place by remote participation by agreement of the parties with the approval of the Adjudicator.

(g) Duties of Regional Chairperson.

(1) Upon receipt of written notice from Disciplinary Counsel pursuant to BR 4.1(f) or written notice from the Adjudicator pursuant to BR 3.5(g) or 5.8(a), the regional chairperson shall appoint an attorney member and a public member to serve with the Adjudicator on the trial panel from the members of the regional panel. The regional chairperson shall give written notice to Disciplinary Counsel, Bar Counsel, and the respondent of such appointments, and a copy of the notice shall be filed with the Disciplinary Board Clerk. In the event a member is disqualified pursuant to BR 2.4(hg) or becomes unavailable to serve, the regional chairperson shall appoint a replacement member, giving written notice of such appointment as is given of initial appointments.

(2) The regional chairperson shall rule on all timely challenges for cause to the Adjudicator or to any attorney appointed to the role of Adjudicator pursuant to this paragraph ~~brought pursuant to BR 2.4(g).~~

In the event the Adjudicator is disqualified for cause or is otherwise unavailable to chair a trial panel, the regional chairperson shall appoint an attorney member from within the region to serve in place of the Adjudicator who has all the duties and responsibilities of the Adjudicator in that proceeding. In the event no attorney member from within the region is available to serve in place of the Adjudicator, the regional chairperson shall so notify the Disciplinary Board Clerk, who will ask another regional chairperson to appoint an attorney member pursuant to the authority granted the Adjudicator in BR 2.4(fe)(9). The attorney member so appointed shall have all the duties and responsibilities of the Adjudicator in that proceeding.

- (3) The regional chairperson may serve on trial panels during their term of office.
- (4) Upon written request from the General Counsel pursuant to BR 2.4(ef)(14), the regional chairperson shall exercise the duties and responsibilities of the Adjudicator until such authority is terminated by order of the Adjudicator or the court.

(h) Challenges. The Bar and a respondent or applicant shall be entitled to one preemptory challenge of either the attorney member who is not the Adjudicator or the public member. A preemptory challenge shall be timely if filed in writing within ten days following that member's appointment to the trial panel with the Disciplinary Board Clerk. A challenge for cause as may arise under the Disciplinary Board Code of Conduct may be filed by the Bar, the respondent, or an applicant as to any member of the trial panel. A challenge for cause shall state the reason for the challenge and is timely if filed in writing within ten days following the date of the member's appointment to the trial panel or the date the Bar, the respondent, or an applicant discovers the information raising a disqualification issue, whichever is later. For purposes of this paragraph, the Adjudicator is deemed appointed to the trial panel on the same date that the regional chairperson appoints the other two members of the trial panel pursuant to BR 2.4(gf)(1). A copy of the challenge for cause shall be immediately provided by email to the challenged panel member by the Disciplinary Board Clerk.

The opposing party and the challenged panel member may file a response to the challenge within 10 days of receipt of a copy of the challenge from the Disciplinary Board Clerk. No further written submissions are allowed unless requested by the Adjudicator or the regional chair.

The ruling on any challenge for cause must be in writing. The written ruling shall identify specific findings of fact and conclusions of law if the challenge is allowed. The written ruling on a challenge shall be filed with the Disciplinary Board Clerk, who shall send copies of the ruling to all parties. The Bar and a respondent or applicant may waive a disqualification of a member in the same manner as in the case of a judge under the Code of Judicial Conduct.

(i) Duties of Trial Panel.

(1) Trial. The trial panel to which a disciplinary or contested reinstatement proceeding has been referred has a duty to promptly try the issues.

(2)

(A) Opinions. The trial panel shall issue a written opinion identifying the concurring members of the trial panel. A dissenting member shall be identified and may file a dissenting opinion attached to the majority opinion. The majority opinion shall include specific findings of fact, conclusions of law, and a disposition. In any matter in which the Adjudicator is not a member of the majority, the other attorney member shall author the trial panel opinion. The author of any opinion shall file the original opinion with the Disciplinary Board Clerk, and the Disciplinary Board Clerk shall send copies to the parties. The opinion shall be filed within 28 days after the conclusion of the hearing, the settlement of the transcript if required under BR 5.3(e), or the filing of briefs if requested by the Adjudicator pursuant to BR 4.8, whichever is later.

(B) Extensions of Time to File Opinions. If the trial panel requires additional time to issue its opinion, the Adjudicator may so notify the parties, indicating the anticipated date by which an opinion shall be

issued, not to exceed 90 days after the date originally due. If no opinion has been issued within 90 days after the date originally due, either party may file a motion with the Disciplinary Board, seeking issuance of an opinion. Upon the filing of such a motion, the Adjudicator shall enter an order establishing a date by which the opinion shall be issued, not to exceed 120 days after the date it was originally due. If no opinion has been issued by 120 days after the date originally due, either party may petition the court to enter an order compelling the Disciplinary Board to issue an opinion by a date certain.

(3) Record. The trial panel shall keep a record of all proceedings before it, including a transcript of the proceedings and exhibits offered and received, and shall promptly file the record with the Disciplinary Board Clerk, after the hearing concludes.

(4) Notice. The Disciplinary Board Clerk shall promptly notify the parties of receipt of the trial panel opinion.

(j) Publications.

(1) Disciplinary Counsel shall cause to be prepared, on a periodic basis, a reporter service containing the full text of all Disciplinary Board decisions not reviewed by the court.

(2) Disciplinary Counsel shall have printed in the Bar Bulletin, on a periodic basis, summaries of the court's disciplinary proceeding, contested admission, and contested reinstatement decisions, and summaries of all Disciplinary Board decisions not reviewed by the court.

(Rule 2.4(a) amended by Order dated January 2, 1986, further amended by Order dated January 24, 1986 effective January 2, 1986, nun pro tunc.)

(Rule 2.4(d)(2) amended by Order dated September 10, 1986, effective September 10, 1986.)

(Rules 2.1, 2.6, 2.7 and 2.8 amended by Order dated June 30, 1987.)

(Rule 2.4(j) amended by Order dated October 1, 1987, effective October 1, 1987.)

(Rule 2.4(f)(1) amended by Order dated February 22, 1988.)

(Rule 2.4(d), (h) and (i) amended by Order dated February 23, 1988.)

(Rule 2.4(e) amended by Order dated March 13, 1989, effective April 1, 1989, corrected June 1, 1989.)

(Rule 2.4(i)(3) amended by Order dated March 20, 1990, effective April 2, 1990.)

(Rule 2.4(a) amended by Order dated January 10, 1991.)

(Rule 2.4(d), (e) and (i) amended by Order dated July 22, 1991.)

(Rule 2.4(b) amended by Order dated December 22, 1992.)

(Rule 2.4(a), (e) and (f) amended by Order dated December 13, 1993.)

(Rule 2.4(i)(3) amended by Order dated June 5, 1997, effective July 1, 1997.)

(Rule 2.4 (a) amended by Order dated July 10, 1998.)

(Rule 2.4(e), (f), (g), (h), (i) and (j) amended by Order dated February 5, 2001.)

(Rule 2.4(b)(2) and (i)(2)(a) and (b) amended by Order dated June 28, 2001.)

(Rule 2.4(b)(1) and (2);(e)(4); (f)(1); (g); (h); and (i)(2)(a) and (b), (3) and (4) amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 2.4(d)(3) added by Order dated January 21, 2005.)

(Rule 2.4(b)(2) amended by Order dated April 26, 2007.)

(Rule 2.4(g) and 2.4(h) amended by Order dated October 19, 2009.)

(Rule 2.4(a) amended by Order dated August 23, 2010, effective January 1, 2011.)

(Rule 2.4(e)(8) added by Order dated August 12, 2013, effective November 1, 2013.)

(Former Rule 2.4(f)(3), 2.4(f)(5), and 2.4(h) deleted; former Rule 2.4(e)(3), 2.4(e)(4), 2.4(e)(5), 2.4(e)(6), 2.4(e)(7), 2.4(e)(8), 2.4(f)(4), 2.4(i), and 2.4(j) redesignated as Rule 2.4(e)(4), 2.4(e)(5), 2.4(e)(6), 2.4(e)(7), 2.4(e)(11), 2.4(e)(12), 2.4(f)(3), 2.4(h), and 2.4(i); Rule 2.4(a), 2.4(b)(1), 2.4(b)(2), 2.4(c), 2.4(d)(1), 2.4(d)(2)(A), 2.4(d)(2)(B), 2.4(d)(3), 2.4(e), 2.4(e)(1), 2.4(e)(2), 2.4(e)(4), 2.4(e)(5), 2.4(e)(6), 2.4(e)(7), 2.4(e)(11), 2.4(e)(12), 2.4(f)(1), 2.4(f)(2), 2.4(h)(1), 2.4(h)(2)(A), 2.4(h)(2)(B), 2.4(h)(3), 2.4(h)(4), 2.4(i)(1), and 2.4(i)(2) amended; Rule 2.4(e)(3), 2.4(e)(8), 2.4(e)(9), and 2.4(e)(10) added by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 2.4(e)(8) and 2.4(e)(9) amended; Rule 2.4(e)(13), 2.4(e)(14), and 2.4(f)(4) added by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 2.4(a) amended by Order dated October 27, 2019, effective December 1, 2019.)

(Rule 2.4(a) amended by Order dated January 9, 2020, effective January 15, 2020.)

(Rule 2.4(e)(15) added by Order dated November 22, 2021.)

Rule 2.4(a), (b), (d), (e), (f)(4), (f)(10), (g)(2), (h), (i)(2)(A), amended by Order dated December 26, 2023, effective January 1,

2024.),

Rule 2.5 Intake and Review of Inquiries and Complaints by the Intake Office.

(a) Intake Office. The Bar shall maintain an Intake Office, separate from that of Disciplinary Counsel. The Intake Office shall, to the extent possible and resources permitting, receive, review, and respond to all inquiries received by the Bar concerning the conduct of attorneys and LPs. The Intake Office will determine the manner and extent of review required for the appropriate disposition of any inquiry, and may refer inquiries to other resources as it deems appropriate.

(b) Disposition by Intake Office.

(1) If the Intake Office determines that, even if true, an inquiry does not allege misconduct, it shall dismiss the inquiry with written notice to the complainant and to the attorney or LP named in the inquiry.

(2) If the Intake Office determines, after reviewing the inquiry and any other information deemed relevant, that there is sufficient evidence to support a reasonable belief that misconduct may have occurred, the inquiry shall be referred to Disciplinary Counsel as a grievance. Otherwise, the inquiry shall be dismissed with written notice to the complainant and the attorney or LP.

(3) The Intake Office may, as it deems appropriate, contact the involved attorney or LP and attempt to assist the parties in resolving the complainant's concerns upon receipt of an inquiry. The provision of such assistance does not preclude a referral of a grievance to Disciplinary Counsel.

(c) Review by General Counsel. Any dismissed inquiry may be reviewed by the General Counsel upon written request of the complainant. General Counsel may request additional information from the complainant or the attorney or LP and, after review, shall either affirm the dismissal or refer the inquiry to Disciplinary Counsel as a grievance. General Counsel may affirm the dismissal by adopting the reasoning of the Intake Office without additional discussion. The decision of the General Counsel is final.

(Rule 2.5 amended by Order dated January 17, 1992.)

(Rule 2.5(g) amended by Order dated October 10, 1994.)

(Rule 2.5(c), (f), (g), and (h) amended by Order dated June 5, 1997, effective July 1, 1997.)

(Rule 2.5(a), (b), (c), (d), (f), (h) and (i) amended by Order dated February 5, 2001.)

(Rule 2.5(a) and (b) added and former Rule 2.5(b) through (i) renumbered 2.6 by Order dated July 9, 2003, effective August 1, 2003.)

(Rule 2.5(a) and (b) amended and 2.5(c) added by Order dated August 29, 2007.)

(Rule 2.5(a), 2.5(b)(1), 2.5(b)(2), and 2.5(c) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 2.5(c) amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 2.5 amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 2.5 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 2.6 Investigations

(a) Review of Grievance by Disciplinary Counsel.

(1) For grievances referred to Disciplinary Counsel by the Intake Office, Disciplinary Counsel shall, within fourteen (14) days after receipt of the grievance, mail a copy of the grievance to the attorney or LP, if the Intake Office has not already done so, and notify the attorney or LP that they must respond to the grievance in writing to Disciplinary Counsel within 21 days of the date Disciplinary Counsel requests such a response. Disciplinary Counsel may grant an extension of time to respond for good cause shown upon the written request of the attorney or LP. An attorney or LP need not respond to the grievance if Disciplinary Counsel notifies the attorney or LP that further information from the attorney or LP is not necessary.

(2) If the attorney or LP fails to respond to Disciplinary Counsel or to provide records requested by Disciplinary Counsel within the time allowed, Disciplinary Counsel may file a petition with the Disciplinary Board to suspend the attorney or LP from the practice of law, pursuant to the procedure set forth in BR

7.1. Notwithstanding the filing of a petition under this rule, Disciplinary Counsel may investigate the grievance.

(3) Disciplinary Counsel may, if appropriate, offer to enter into a diversion agreement with the attorney or LP pursuant to BR 2.10. If Disciplinary Counsel chooses not to offer a diversion agreement to the attorney or LP pursuant to BR 2.10 and does not dismiss the grievance pursuant to BR 2.6(b), Disciplinary Counsel shall refer the grievance to the SPRB at a scheduled meeting.

(b) Dismissal of Grievance by Disciplinary Counsel. If, after considering a grievance, the response of the attorney or LP, and any additional information deemed relevant, Disciplinary Counsel determines that probable cause does not exist to believe misconduct has occurred, Disciplinary Counsel shall dismiss the grievance. Disciplinary Counsel shall notify the complainant and the attorney or LP of the dismissal in writing. A complainant may contest in writing the action taken by Disciplinary Counsel in dismissing their grievance, in which case Disciplinary Counsel shall submit a report on the grievance to the SPRB at a scheduled meeting. The SPRB shall thereafter take such action as it deems appropriate.

(c) Review of Grievance by SPRB.

(1) The SPRB shall evaluate a grievance based on the report of Disciplinary Counsel to determine whether probable cause exists to believe misconduct has occurred. The SPRB shall either dismiss the grievance, admonish the attorney or LP, direct Disciplinary Counsel to file a formal complaint by the Bar against the attorney or LP, or take action within the discretion granted to the SPRB by these rules.

(A) If the SPRB determines that probable cause does not exist to believe misconduct has occurred, the SPRB shall dismiss the grievance and Disciplinary Counsel shall notify the complainant and the attorney or LP of the dismissal in writing.

(B) If the SPRB determines that the attorney or LP should be admonished, Disciplinary Counsel shall so notify the attorney or LP within fourteen (14) days of the SPRB's meeting. If an attorney or LP refuses to accept the admonition within the time specified by Disciplinary Counsel, Disciplinary Counsel shall file a formal complaint against the attorney or LP on behalf of the bar. Disciplinary Counsel shall notify the complainant in writing of the admonition of the attorney or LP.

(C) If the SPRB determines that the complaint should be investigated further, Disciplinary Counsel shall conduct the investigation and notify the complainant and the attorney or LP in writing of such action.

(d) Reconsideration; Discretion to Rescind.

(1) An SPRB decision to dismiss a grievance or allegation of misconduct against an attorney or LP shall not preclude reconsideration or further proceedings on such grievance or allegation, if evidence that is not available or submitted at the time of such dismissal justifies, in the judgment of not less than a majority of SPRB, such reconsideration or further proceedings.

(2) The SPRB may rescind a decision to file a formal complaint against an attorney or LP only when, to the satisfaction of a majority of the entire SPRB, good cause exists. Good cause is:

(A) new evidence that would have clearly affected the SPRB's decision to file a formal complaint; or

(B) legal authority, not known to the SPRB at the time of its last consideration of the matter, that establishes that the SPRB's decision to file a formal complaint was incorrect.

(e) Approval of Filing of Formal Complaint.

(1) If the SPRB determines that a formal complaint should be filed against an attorney or LP, or if an attorney or LP rejects an admonition offered by the SPRB, Disciplinary Counsel may appoint Bar Counsel. Disciplinary Counsel shall notify the attorney or LP and the complainant in writing of such action.

(2) Notwithstanding an SPRB determination that probable cause exists to believe misconduct has occurred, the SPRB shall have the discretion to direct that the Bar take no further action on a grievance or allegation of misconduct if one or more of the following circumstances exist:

- (A) the attorney or LP is no longer an active member of the Bar or is not engaged in the practice of law, and is required under BR 8.1 to demonstrate good moral character and general fitness to practice law before resuming active membership status or the practice of law in Oregon;
- (B) other disciplinary proceedings are pending that are likely to result in the attorney's or LP's disbarment;
- (C) other disciplinary charges are authorized or pending and the anticipated sanction, should the Bar prevail on those charges, is not likely to be affected by a finding of misconduct in the new matter or on an additional charge; or
- (D) formal disciplinary proceedings are impractical in light of the circumstances or the likely outcome of the proceedings.

An exercise of discretion under this rule to take no further action on a grievance or allegation of misconduct shall not preclude further SPRB consideration or proceedings on such grievance or allegation in the future.

(3) Notwithstanding an SPRB determination that probable cause exists to believe misconduct has occurred, the SPRB shall have the discretion to dismiss a grievance or allegation of misconduct if the SPRB, considering the facts and circumstances as a whole, determines that dismissal would further the interests of justice and would not be harmful to the interests of clients or the public. Factors the SPRB may take into account in exercising that discretion include, but are not limited to:

- (A) the attorney's or LP's mental state;
- (B) whether the misconduct is an isolated event or part of a pattern of misconduct;
- (C) the potential or actual injury caused by the attorney's or LP's misconduct;
- (D) whether the attorney or LP fully cooperated in the investigation of the misconduct; and
- (E) whether the attorney or LP previously was admonished or disciplined for misconduct.

Misconduct that adversely reflects on the attorney's or LP's honesty, trustworthiness, or fitness to practice law shall not be subject to dismissal under this rule.

(f) Investigation of Inquiries Involving Disciplinary Counsel, General Counsel, or other Bar agents. Inquiries that allege misconduct concerning Disciplinary Counsel or General Counsel of the Bar, or agents thereof; or that Bar Counsel has engaged in misconduct while acting on the Bar's behalf, shall be referred to the chairperson of the SPRB within seven days of their receipt by the Bar.

(1) If the SPRB chairperson determines that probable cause does not exist to believe misconduct has occurred, the SPRB chairperson shall dismiss the inquiry and notify the parties of the dismissal in writing. A complainant may contest the dismissal in writing, in which case the matter shall be submitted to the SPRB at a scheduled meeting. The SPRB shall thereafter take such action as it deems appropriate.

(2) If the SPRB chairperson determines the inquiry should be investigated, the SPRB chairperson may appoint an investigator of their choice to investigate the matter and to report on the matter directly to the SPRB. The same procedure shall, as far as practicable, apply to the investigation of such grievances as apply to members of the Bar generally.

(Rule 2.6 amended and 2.6(g)(3) added by Order dated July 9, 2003, effective August 1, 2003.)

(Rule 2.6 amended by Order dated December 8, 2003, effective January 1, 2004.)

(Rule 2.6(g)(1) amended by Order dated March 20, 2008.)

(Rule 2.6(f)(2) amended by Order dated October 19, 2009.)

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*(Rule 2.6(a)(2) amended by Order dated August 12, 2013, effective November 1, 2013.)
 (Former Rule 2.6(e), 2.6(f), and 2.6(g) redesignated as 2.6(d), 2.6(e), and 2.6(f); former Rule 2.6(d) deleted; Rule 2.6(a)(3),
 Rule 2.6(e)(2)(A), 2.6(e)(2)(B), 2.6(e)(2)(C), 2.6(e)(2)(D), 2.6(e)(3)(A), 2.6(e)(3)(B), 2.6(e)(3)(C), 2.6(e)(3)(D), and 2.6(e)(3)(E)
 added; and 2.6(a), 2.6(a)(1), 2.6(a)(2), 2.6(b), 2.6(c), 2.6(c)(1), 2.6(c)(1)(A), 2.6(c)(1)(B), 2.6(c)(1)(C), 2.6(d)(1), 2.6(d)(2),
 2.6(d)(2)(A), 2.6(d)(2)(B), 2.6(e), 2.6(e)(1), 2.6(e)(2), 2.6(e)(2)(C), 2.6(e)(3), 2.6(e)(3)(D), 2.6(f), 2.6(f)(1), and 2.6(f)(2)
 amended by Order dated May 3, 2017, effective January 1, 2018.)*

(Rule 2.6(a) through (e) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 2.6(a)(1), (b), (c)(1)(B), (f) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 2.7 Investigations of Alleged Misconduct Other Than by Inquiry.

Allegations or instances of alleged misconduct that are brought or come to the attention of the Bar other than through the receipt of a written inquiry shall be evaluated using the procedure specified in BR 2.6 except as that rule may be inapplicable due to the lack of a written grievance or a complainant with whom to communicate.

(Rule amended and renumbered by Order dated July 9, 2003, effective August 1, 2003.)

(Rule 2.7 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 2.7 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 2.8 Proceedings Not to Stop On Compromise.

Neither unwillingness nor neglect of the complainant to pursue a grievance or to participate as a witness, nor settlement, compromise or restitution of any civil claim, shall, in and of itself, justify any failure to undertake or complete the investigation or the formal resolution of a disciplinary or contested reinstatement matter or proceeding.

(Rule 2.7 amended by Order dated July 22, 1991.)

(Rule renumbered by Order dated July 9, 2003, effective August 1, 2003.)

(Rule 2.8 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 2.8 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 2.9 Requests for Information And Assistance.

The Bar may request a complainant or applicant to supply and disclose to the investigating authorities of the Bar all documentary and other evidence in their possession, and the names and addresses of witnesses relating to their inquiry and may otherwise request the complainant to assist such investigating authorities in obtaining evidence in support of the facts surrounding their inquiry.

(Rule renumbered by Order dated July 9, 2003, effective August 1, 2003.)

(Rule 2.9 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 2.9 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 2.10 Diversion.

(a) Diversion Offered by Disciplinary Counsel. As an alternative to seeking authority from the SPRB to offer an attorney or LP an admonition or to file a formal complaint, Disciplinary Counsel may offer to the attorney or LP to divert a grievance on the condition that the attorney or LP enter into a diversion agreement in which the attorney or LP agrees to participate in a remedial program as set forth in the agreement. An attorney or LP does not have a right to have a grievance diverted under this rule.

(b) Diversion Eligibility. Disciplinary Counsel may consider diversion of a grievance if:

- (1) The misconduct does not involve the misappropriation of funds or property; fraud, dishonesty, deceit or misrepresentation; or the commission of a misdemeanor involving moral turpitude or a felony under Oregon law;

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

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

(c) Offer of Diversion.

(1) If, after investigation, Disciplinary Counsel determines that an attorney or LP may have committed misconduct and that the matter is appropriate for diversion under this rule, Disciplinary Counsel may offer a diversion agreement to the attorney or LP. The attorney or LP has 30 days from the date diversion is offered to accept and enter into the diversion agreement. Disciplinary Counsel may grant an extension of time to the attorney or LP for good cause shown.

(2) An attorney or LP may decline to enter into a diversion agreement, in which case Disciplinary Counsel shall refer the grievance to the SPRB for review pursuant to Rule 2.6.

(d) Diversion Agreement.

(1) A diversion agreement shall require the attorney or LP to participate in a specified remedial program to address the apparent cause of the misconduct. Such a remedial program may include, but is not limited to: appointment of a diversion supervisor; assistance or training in law office management; chemical dependency treatment; counseling or peer support meetings; oversight by an experienced practicing attorney; voluntary limitation of areas of practice for the period of the diversion agreement; restitution; or a prescribed course of continuing legal education. The attorney or LP shall pay the costs of a remedial program.

(2) A diversion agreement shall require the attorney or LP to stipulate to a set of facts concerning the complaint or allegation of misconduct being diverted and to agree that, in the event the attorney or LP fails to comply with the terms of the diversion agreement, the stipulated facts shall be deemed true in any subsequent disciplinary proceeding.

(3) A diversion agreement may be amended at any time by agreement between Disciplinary Counsel and the attorney or LP. Disciplinary Counsel is not obligated to amend a diversion agreement to incorporate additional complaints or allegations of misconduct made against the attorney or LP subsequent to the date of the original agreement.

(4) The term of a diversion agreement shall be no more than 24 months following the date of the last amendment to the agreement.

(5) In a diversion agreement, the attorney or LP shall agree that a diversion supervisor, treatment provider or any other person to whom the attorney or LP has been referred pursuant to the remedial program specified in the agreement shall report to Disciplinary Counsel any failure by the attorney or LP to comply with the terms of the agreement.

(6) If a diversion agreement is entered into between Disciplinary Counsel and the attorney or LP, Disciplinary Counsel shall so notify the complainant in writing.

(e) Compliance and Disposition.

(1) If it appears to Disciplinary Counsel that an attorney or LP has failed to comply with the terms of a diversion agreement and Disciplinary Counsel determines that the allegation of noncompliance, if true, warrants the termination of the diversion agreement, Disciplinary Counsel shall provide the attorney or LP an opportunity to be heard, through written submission, concerning the alleged noncompliance. Thereafter, Disciplinary Counsel shall determine whether to terminate the diversion agreement and, if so, shall refer the matter to the SPRB for review pursuant to BR 2.6.

(2) If an attorney or LP fulfills the terms of a diversion agreement, Disciplinary Counsel thereafter shall dismiss the grievance with written notice to the complainant and the attorney or LP. The dismissal of a grievance after diversion shall not be considered a prior disciplinary offense in any subsequent proceeding against the attorney or LP.

(f) Public Records Status. The Bar shall treat records relating to a grievance diverted under this rule, a diversion agreement, or a remedial program as official records of the Bar, subject to the Oregon Public Records Law and also subject to any applicable exemption.

(Rule 2.10 added by Order dated July 9, 2003, effective August 1, 2003.)

(Rule 2.10(a), 2.10(c)(2), and 2.10(d)(4) amended by Order dated October 19, 2009.)

(Rule 2.10(a), 2.10(b), 2.10(c)(1), 2.10(c)(2), 2.10(d)(1), 2.10(d)(2), 2.10(d)(3), 2.10(d)(6), 2.10(e)(1), 2.10(e)(2), and 2.10(f) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 2.10(a) and (d) amended by Order dated August 17, 2022, effective July 1, 2023.)

Title 3 — Special Proceedings

Rule 3.1 Interim Suspension During Pendency of Disciplinary Proceedings.

(a) Petition for Interim Suspension. At any time after Disciplinary Counsel has determined probable cause exists that an attorney or LP has engaged in misconduct, has evidence sufficient to establish a probable violation of one or more rules of professional conduct or the Bar Act, and reasonably believes that clients or others will suffer immediate and irreparable harm by the continued practice of law by the attorney or LP, Disciplinary Counsel shall petition the Adjudicator for an order for interim suspension of the attorney's or LP's license to practice law pending the outcome of the disciplinary proceeding.

(b) Contents of Petition; Notice to Answer; Service. A petition for the suspension of an attorney or LP under this rule shall set forth the acts and violations of the rules of professional conduct or statutes submitted by the Bar, together with an explanation of why interim suspension is warranted under BR 3.1(a). If a formal complaint has been filed against the attorney or LP, a copy shall be attached. The petition may be supported by documents or affidavits. The notice to answer shall provide that an answer to the petition must be filed with the Disciplinary Board Clerk within fourteen (14) days of service and that, absent the timely filing of an answer with the Disciplinary Board Clerk, the relief sought can be obtained. Disciplinary Counsel shall file the petition with the Disciplinary Board Clerk and shall serve a copy, along with the notice of answer, on the attorney or LP pursuant to BR 1.8.

(c) Answer by Attorney or LP. The attorney or LP shall file an answer to the Bar's petition with the Disciplinary Board Clerk within fourteen (14) days of service. The attorney or LP shall mail a copy of the answer to Disciplinary Counsel and file proof of mailing with the Disciplinary Board Clerk.

(d) Default; Entry of Order. The failure of the attorney or LP to answer the Bar's petition within the time provided in BR 3.1(c) constitutes a waiver of the attorney's or LP's right to contest the Bar's petition, and all factual allegations contained in the petition shall be deemed true. Not earlier than fourteen (14) days after service of the petition and in the absence of an answer filed by the attorney or LP named in the petition, the Adjudicator shall review the sufficiency of the petition. If the petition establishes a probable violation of one or more rules of professional conduct or the Bar Act, and a reasonable belief that clients or others will suffer immediate or irreparable harm by the continued practice of law by the attorney or LP, the Adjudicator shall enter an appropriate interim order suspending the attorney's or LP's license to practice law until further order of the Adjudicator or the Supreme Court. The Disciplinary Board Clerk shall send copies of the order to the parties.

(e) Answer filed; Setting hearing on interim suspension. Upon the timely filing of the attorney's or LP's answer pursuant to BR 3.1(c), the Adjudicator shall hold a hearing on the Bar's petition not less than 30 days nor more than 60 days after the date the answer is filed. The Disciplinary Board Clerk shall promptly notify Disciplinary Counsel and the attorney or LP named in the petition of the date, time, and location of the hearing. The hearing shall take place consistently with BR 5.3(a), (b), (c), and (d). At the hearing, the Bar must prove by clear and convincing evidence that one or more rules of professional conduct or provision of the Bar

Act has been violated by the attorney or LP named in the petition and that clients or others will suffer immediate or irreparable harm by the continued practice of law by the attorney or LP. Proof that clients or others will suffer immediate or irreparable harm by the continued practice of law by the attorney or LP may include, but is not limited to, establishing within the preceding 12-month period:

- (1) theft or knowing conversion of funds held by the attorney or LP in any fiduciary capacity, including but not limited to funds that should have been maintained in a lawyer or LP trust account;
- (2) three or more instances of failure to appear in court on behalf of a client notwithstanding having notice of the setting; or
- (3) abandoning a practice with no provision of new location or contact information to three (3) or more clients.

If the attorney or LP, having been notified of the date, time, and location of the hearing, fails to appear, the Adjudicator may enter an order finding the attorney or LP in default, deeming the allegations contained in the petition to be true, proceed on the basis of that default consistent with BR 3.1(d), and enter an appropriate order. The Disciplinary Board Clerk shall send copies of the order to the parties.

(f) Order of Adjudicator; Suspension; Restrictions on Trust Account; Notice to Clients; Custodian; Other Orders. The Adjudicator, upon the record pursuant to BR 3.1(d) or after the hearing provided in 3.1(e), shall enter an appropriate order. If the Adjudicator grants the Bar's petition and grants an interim suspension of the attorney's or LP's license to practice law, the order of suspension shall state an effective date. The suspension shall remain in effect until further order of the Adjudicator or the court. The Adjudicator may enter such other orders as appropriate to protect the interests of the suspended attorney or LP, the suspended attorney's or LP's clients, and the public, including, but not limited to:

- (1) an order that, when served upon a financial institution, serves as an injunction prohibiting withdrawals from the attorney's or LP's trust account or accounts except in accordance with restrictions set forth in the Adjudicator's order.
- (2) an order directing the attorney or LP to notify current clients and any affected courts of the attorney's or LP's suspension; and to take such steps as are necessary to deliver client property, withdraw from pending matters, and refund any unearned fees.
- (3) an order appointing another attorney or LP as custodian to take possession of and inventory the files of the suspended attorney or LP and take such further action as necessary to protect the interests of the suspended attorney's or LP's clients. Any attorney or LP so appointed by the court shall not disclose any information contained in any file without the consent of the affected client, except as is necessary to carry out the order of the Adjudicator.

The Disciplinary Board Clerk shall send copies of the order to the parties.

(g) Costs and Expenses. The Adjudicator may direct that the costs and expenses associated with any proceeding under this rule be allowed to the prevailing party. The procedure for the recovery of such costs shall be governed by BR 10.7 as practicable.

(h) Duties of Attorney or LP. An attorney or LP suspended from practice under this rule shall comply with the requirements of BR 6.3(a) and (b). An attorney or LP whose suspension under this rule exceeds 6 months must comply with BR 8.1 to be reinstated. An attorney or LP whose suspension under this rule is 6 months or less must comply with [RL 11.5 BR 8.2](#) in order to be reinstated.

(i) Application of Other Rules. Except as specifically provided herein, Title 4, Title 5, and Title 6 of the Rules of Procedure do not apply to proceedings brought pursuant to BR 3.1.

(j) Accelerated Proceedings Following Interim Suspension. When an attorney or LP has been suspended by

order entered pursuant to BR 3.1(f), the related formal complaint filed by the Bar shall thereafter proceed and be determined as an accelerated case, without unnecessary delay. If no formal complaint has been filed against the attorney subject to suspension under this Rule, notwithstanding the provisions of this Rule, the interim suspension shall expire 45 days after date of entry. If a formal complaint has been filed, and the attorney files a timely answer contesting the charges in the formal complaint, the Adjudicator shall direct the Disciplinary Board Clerk to schedule the trial on the Bar's formal complaint (and any amendments thereto) within 120 days of the filing of the attorney's answer to the formal complaint.

(k) Supreme Court Review. No later than fourteen (14) days after the entry of an order pursuant to BR 3.1(f), Disciplinary Counsel or the attorney or LP who is the subject of an order entered pursuant to BR 3.1(f) may request the Supreme Court to review the Adjudicator's order, including conducting a *de novo* review on the record, on an expedited basis. Unless otherwise ordered by the court, an interim order of suspension, if entered, shall remain in effect until the court issues its decision.

(l) Termination of Interim Suspension. An order for interim suspension will only terminate upon further order of the Adjudicator or the Supreme Court, or upon the final disposition of the Bar's charges in the formal complaint as determined by the Disciplinary Board or the Supreme Court, if the Bar or the attorney appeals the Disciplinary Board's decision as provided in BR 10.2. For purposes of this rule, "final disposition" means the date upon which the time to appeal the Disciplinary Board's decision has expired, or, in the case of an appeal, the effective date of the Supreme Court's decision.

(Rule 3.1(h) amended by letter dated December 10, 1987.)

(Rule 3.1 amended by Order dated February 23, 1988.)

(Rule 3.1(f) amended by Order dated March 13, 1989, effective April 1, 1989, corrected June 1, 1989.)

(Rule 3.1(a) and (g) amended by Order dated May 15, 1995.)

(Rule 3.1(g)(3) added and 3.1(h)-3.1(j) amended by Order dated October 19, 2009.)

(Former Rule 3.1(d), 3.1(f), 3.1(g) and 3.1(g)(1) deleted; former Rule 3.1(c), 3.1(e), 3.1(g)(2), 3.1(g)(3), 3.1(h), 3.1(i), and 3.1(j) redesignated 3.1(e), 3.1(f), 3.1(f)(1), 3.1(f)(3), 3.1(g), 3.1(j), and 3.1(l); Rule 3.1(c), 3.1(d), 3.1(e)(1), 3.1(e)(2), 3.1(e)(3), 3.1(f)(2), 3.1(h), 3.1(i), and 3.1(k) added; and Rule 3.1(a), 3.1(b), 3.1(e), 3.1(f), 3.1(f)(1), 3.1(f)(3), 3.1(g), 3.1(j), and 3.1(l) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 3.1(a) through (f) and (k) through (H)a) and (e) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 3.1 (a) through (f), (j), (k), and (l) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 3.2 Mental Incompetency or Addiction— Involuntary Transfer to Inactive Membership Status.

(a) Summary Transfer to Inactive Status.

(1) The Supreme Court may summarily order, upon ex parte application by the Bar, that an attorney or LP be placed on inactive membership status until reinstated by the court if the attorney or LP has been adjudged by a court of competent jurisdiction to be mentally ill or incapacitated.

(2) A copy of the order shall be personally served on the attorney or LP in the same manner as provided by the Oregon Rules of Civil Procedure for service of summons and mailed to their guardian, conservator and attorney of record in any guardianship or conservatorship proceeding.

(b) Petition by Bar.

(1) The Bar may petition the court to determine whether an attorney or LP is disabled from continuing to practice law due to:

- (A) a personality disorder; or
- (B) mental infirmity or illness; or
- (C) diminished capacity; or
- (D) addiction to drugs, narcotics or intoxicants.

The Bar's petition shall be mailed to the attorney or LP and to their guardian, conservator, and attorney of record in any guardianship or conservatorship proceeding.

(2)

(A) On the filing of such a petition, the court may take or direct such action as it deems necessary or proper to determine whether an attorney or LP is disabled. Such action may include, but is not limited to, examination of such attorney or LP by qualified experts as the court shall designate.

(B) A copy of an order requiring an attorney or LP to appear, for examination or otherwise, shall be mailed by the State Court Administrator to the attorney or LP and to their guardian, conservator and attorney of record in any guardianship or conservatorship proceeding and to Disciplinary Counsel.

(C) In the event of a failure by the attorney or LP to appear at the appointed time and place for examination, the court may place the attorney or LP on inactive membership status until further order of the court.

(D) If, upon consideration of the reports of the designated experts or otherwise, the court finds that probable cause exists that the attorney or LP is disabled under the criteria set forth in BR 3.2(b)(1) from continuing to practice law, the court may order the attorney or LP to appear before the court or its designee to show cause why the attorney or LP should not be placed by the court on inactive membership status until reinstated by the court. The State Court Administrator shall mail such a show cause order to the attorney or LP and their guardian, conservator and attorney of record in any guardianship or conservatorship proceeding and to Disciplinary Counsel.

(E) After any show cause hearing as the court deems appropriate, if the court finds that the attorney or LP is disabled from continuing to practice law, the court may order the attorney or LP placed on inactive membership status. The State Court Administrator shall mail a copy of an order placing the attorney or LP on inactive membership status to the attorney or LP and their guardian, conservator, and attorney of record in any guardianship or conservatorship proceeding, and to Disciplinary Counsel.

(3) Any disciplinary investigation or proceeding pending against an attorney or LP placed by the court on inactive membership status under this rule shall be suspended and held in abeyance until further order of the court.

(c) Disability During Disciplinary Proceedings.

(1) The court may order that an attorney or LP placed on inactive membership status until reinstated by the court if, during the course of a disciplinary investigation or disciplinary proceeding, the attorney or LP files a petition with the court, with notice to Disciplinary Counsel, alleging that they are disabled from understanding the nature of the proceeding against them, assisting and cooperating with their attorney, or from participating in their defense due to:

- (A) a personality disorder; or
- (B) mental infirmity or illness; or
- (C) diminished capacity; or
- (D) addiction to drugs, narcotics or intoxicants.

(2) The court shall take or direct such action as it deems necessary or proper as provided in BR 3.2(b) to determine if the attorney or LP is disabled.

(3) The State Court Administrator shall mail a copy of the court's order to Disciplinary Counsel, Bar Counsel, and the attorney or LP and their guardian, conservator, and attorney of record in any guardianship or conservatorship proceeding, and the attorney of record in the Bar's disciplinary proceeding.

(4) Any disciplinary investigation or proceeding against an attorney or LP who the court places on inactive membership status under this rule shall be suspended and held in abeyance until further order by the court.

(5) If the court determines that the attorney or LP is not disabled under the criteria set forth in BR 3.2(c)(1), it may take such action as it deems necessary or proper, including the issuance of an order that any disciplinary investigation or proceeding against the attorney or LP that is pending or held in abeyance be continued or resumed.

(d) Appointment of Attorney. In any proceeding under this rule, the court may, on such notice as the court shall direct, appoint an attorney or attorneys to represent the attorney or LP if they are without representation.

(e) Custodians. In any proceeding under this rule, the court may, on such notice as the court shall direct, appoint an attorney or attorneys to inventory the files of the attorney or LP and to take such action as seems necessary to protect the interests of their clients. Any attorney so appointed by the court shall not disclose any information contained in any file without the consent of the affected client, except as is necessary to carry out the order of the court.

(f) Costs and Expenses. The court may direct that the costs and expenses associated with any proceeding under this rule be paid by the attorney or LP, or their estate, including compensation fixed by the court to be paid to any attorney or expert appointed under this rule. The court may order such hearings as it deems necessary or proper to determine the costs and expenses to be paid under this rule.

(g) Waiver of Privilege.

(1) Under this rule, an attorney's or LP's claim of disability in a disciplinary investigation or disciplinary proceeding, or the filing of an application for reinstatement as an active member by an attorney or LP placed on inactive membership status under this rule for disability, shall be deemed a waiver of any privilege existing between the attorney or LP and any doctor or hospital treating them during the period of the alleged disability.

(2) The attorney or LP shall, in their claim of disability or in their application for reinstatement, disclose the name of every doctor or hospital by whom they have been treated during their disability or since their placement on inactive membership status and shall furnish written consent to divulge all such information and all such doctor and hospital records as the Bar or the court may request.

(h) Application of Other Rules.

(1) The Rules of Procedure that apply to the resolution of a formal complaint or statement of objections do not apply to transfers from active to inactive membership status under BR 3.2. The placement of an attorney or LP on inactive membership status under BR 3.2 does not preclude the Bar from filing a formal complaint against the attorney or LP. An attorney or LP placed on inactive membership status under BR 3.2 must comply with the applicable provisions of Title 8 of these rules to obtain reinstatement to active membership status.

(2)

(A) An attorney or LP transferred to inactive status under this rule shall not practice law after the effective date of the transfer. This rule shall not preclude the attorney or LP from providing information on the facts of a case and its status to a succeeding attorney or LP, and such information shall be provided on request.

(B) An attorney or LP transferred to inactive status under this rule shall immediately take all reasonable steps to avoid foreseeable prejudice to any client and to comply with all applicable laws and disciplinary rules.

(C) Notwithstanding BR 3.2(b)(3) and BR 3.2(c)(4), Disciplinary Counsel may petition the court to hold an attorney or LP transferred to inactive status under this rule in contempt for failing to comply with the provisions of BR 3.2(h)(2)(i) and (ii). The court may order the attorney or LP to appear and show cause, if any, why the attorney or LP should not be held in contempt of court and sanctioned accordingly.

(i) At the direction of the court, the duties of the court set forth in this rule may be fulfilled by the Adjudicator. In such instances the duties of the State Court Administrator shall be performed by the Disciplinary Board

Clerk.

(Rule 3.2(h) amended by Order dated March 13, 1989, effective April 1, 1989, corrected June 1, 1989.)

(Former Rule 3.2(b)(1)(i), 3.2(b)(1)(ii), 3.2(b)(1)(iii), 3.2(b)(1)(iv), 3.2(c)(1)(i), 3.2(c)(1)(ii), 3.2(c)(1)(iii), 3.2(c)(1)(iv), (c)(4), 3.2(h)(2)(i), 3.2(h)(2)(ii), and 3.2(h)(2)(iii) redesignated as Rule 3.2(b)(1)(A), 3.2(b)(1)(B), 3.2(b)(1)(C), 3.2(b)(1)(D), 3.2(c)(1)(A), 3.2(c)(1)(B), 3.2(c)(1)(C), 3.2(c)(1)(D), 3.2(c)(5), 3.2(h)(2)(A), 3.2(h)(2)(B), and 3.2(h)(2)(C); Rule 3.2(c)(4) added; and Rule 3.2(a)(2), 3.2(b), 3.2(b)(1)(C), 3.2(b)(2)(A), 3.2(b)(2)(D), 3.2(b)(2)(E), 3.2(b)(3), 3.2(c)(1), 3.2(c)(1)(C), 3.2(c)(2), 3.2(c)(3), 3.2(c)(5), 3.2(g)(1), 3.2(g)(2), 3.2(h)(1), 3.2(h)(2)(A), 3.2(h)(2)(B), and 3.2(h)(2)(C) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 3.2(a)(2) amended and Rule 3.2(h)(2)(C)(i) added by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 3.2(a) through (h) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 3.2(a) through (h) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 3.3 Allegations of Criminal Conduct Involving Attorneys and LPs.

(a) If the SPRB directs the filing of a formal complaint that alleges acts involving the possible commission of a crime that do not appear to have been the subject of a criminal prosecution, Disciplinary Counsel shall report the possible crime to the appropriate investigatory authority.

(b) On the filing of an accusatory instrument against an attorney or LP for the commission of a misdemeanor that may involve moral turpitude or of a felony, Disciplinary Counsel shall determine whether a disciplinary investigation should be initiated against such attorney or LP.

(Rule 3.3 amended by Order dated March 31, 1989.)

(Rule 3.3(a) and 3.3(b) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Title for Rule 3.3 and 3.3(b) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Title for Rule 3.3 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 3.4 Conviction of Attorneys or LPs.

(a) Petition for Interim Suspension; Notice to Answer. Upon learning that an attorney or LP has been convicted in any jurisdiction of an offense that is a misdemeanor that may involve moral turpitude, a felony under the laws of this state, or a crime punishable by death or imprisonment under the laws of the United States and determining that immediate and irreparable harm to the attorney's or LP's clients or the public is likely to result if a suspension of the attorney's or LP's license to practice law is not ordered, Disciplinary Counsel shall petition the Disciplinary Board to suspend the attorney's or LP's license to practice law on an interim basis. The petition shall describe the conviction and explain the basis upon Disciplinary Counsel believes that immediate and irreparable harm to the attorney's or LP's clients or the public is likely to result if a suspension is not ordered. The petition shall include a copy of the documents that show the conviction and may be supported by documents or affidavits. A "conviction" for purposes of this rule shall be considered to have occurred upon entry of a plea of guilty or no contest or upon entry of a finding or verdict of guilty. The notice to answer shall provide that an answer to the petition must be filed with the Disciplinary Board Clerk within fourteen (14) days of service and that, absent the timely filing of an answer with the Disciplinary Board Clerk, the relief sought can be obtained. Disciplinary Counsel shall file the petition with the Disciplinary Board Clerk and shall serve a copy, along with the notice to answer, on the attorney or LP pursuant to BR 1.8.

(b) Answer by Attorney or LP. The attorney or LP shall file an answer to the Bar's petition with the Disciplinary Board Clerk within fourteen (14) days of service. The attorney or LP shall mail a copy of the answer to Disciplinary Counsel and file proof of mailing with the Disciplinary Board Clerk.

(c) Default; Entry of Order. The failure of the attorney or LP to answer the Bar's petition within the time provided in BR 3.4(b) constitutes a waiver of the attorney's or LP's right to contest the Bar's petition, and all factual allegations contained in the petition shall be deemed true. Not earlier than fourteen (14) days after service of the petition and in the absence of an answer filed by the attorney or LP named in the petition, the Adjudicator shall review the sufficiency of the petition. If the petition establishes the attorney's or LP's conviction of a category of offense described in BR 3.4(a) and a reasonable belief that clients or others will

suffer immediate or irreparable harm by the attorney's or LP's continued practice of law, the Adjudicator shall enter an appropriate interim order suspending the attorney's or LP's license to practice law until further order of the Adjudicator or the Supreme Court. The Disciplinary Board Clerk shall send copies of the order to the parties.

(d) Answer filed; Setting hearing on interim suspension. Upon the timely filing of the attorney's or LP's answer pursuant to BR 3.4(b), the Adjudicator shall hold a hearing on the Bar's petition not less than 30 days nor more than 60 days after the date the answer is filed. The Disciplinary Board Clerk shall promptly notify Disciplinary Counsel and the attorney or LP of the date, time, and location of the hearing. The hearing shall take place consistently with BR 5.3(a), (b), (c), and (d). At the hearing, the Bar must prove by clear and convincing evidence that the attorney or LP has been convicted of a category of offense described in BR 3.4(a) and that clients or others will suffer immediate or irreparable harm by the attorney's continued practice of law. Proof that clients or others will suffer immediate or irreparable harm by the attorney's or LP's continued practice of law may include, but is not limited to, establishing that a period of incarceration was imposed on the attorney or LP as a result of the conviction. If the attorney or LP, having been notified of the date, time, and location of the hearing, fails to appear, the Adjudicator may enter an order finding the attorney or LP in default, deeming the allegations contained in the petition to be true, proceed on the basis of that default consistent with BR 3.4(c), and enter an appropriate order.

(e) Order of Adjudicator; Suspension; Restrictions on Trust Account; Notice to Clients; Custodian; Other Orders. The Adjudicator, upon the record pursuant to BR 3.4(c) or after the hearing provided in BR 3.4(d), shall enter an appropriate order. If the Adjudicator grants the Bar's petition and suspends the attorney's license to practice law, the order of suspension shall state an effective date. The suspension shall remain in effect until further order of the Adjudicator or the court. The Adjudicator may enter such other orders as appropriate to protect the interests of the suspended attorney, the suspended attorney's clients, and the public, including, but not limited to:

(1) an order that, when served upon a financial institution, serves as an injunction prohibiting withdrawals from the attorney's trust account or accounts except in accordance with restrictions set forth in the Adjudicator's order.

(2) an order directing the attorney to notify current clients and any affected courts of the attorney's suspension; and to take such steps as are necessary to deliver client property, withdraw from pending matters, and refund any unearned fees.

(3) an order appointing an attorney as custodian to take possession of and inventory the files of the suspended attorney and take such further action as necessary to protect the interests of the suspended attorney's clients. Any attorney so appointed by the Adjudicator shall not disclose any information contained in any file without the consent of the affected client, except as is necessary to carry out the order of the Adjudicator.

The Disciplinary Board Clerk shall send copies of the order to the parties.

(f) Costs and Expenses. The Adjudicator may direct that the costs and expenses associated with any proceeding under this rule be allowed to the prevailing party. The procedure for the recovery of such costs shall be governed by BR 10.7 as practicable.

(g) Duties of Attorney or LP. An attorney or LP suspended from practice under this rule shall comply with the requirements of BR 6.3(a), (b), and (c). An attorney or LP whose suspension under this rule exceeds 6 months must comply with BR 8.1 to be reinstated. An attorney or LP whose suspension under this rule is 6 months or less must comply with [RL 11.5BR-8.2](#) to be reinstated.

(h) Application of Other Rules. Except as specifically provided herein, Title 4, Title 5, and Title 6 of the Rules of Procedure do not apply to proceedings brought pursuant to BR 3.4.

(i) Supreme Court Review. No later than fourteen (14) days of the entry of an order pursuant to BR 3.4(e), Disciplinary Counsel or the attorney or LP who is the subject of an order entered pursuant to BR 3.4(e) may

request the Supreme Court to review the Adjudicator's order, including conducting a *de novo* review on the record, on an expedited basis. Unless otherwise ordered by the court, an interim order of suspension, if entered, shall remain in effect until the court issues its decision.

(j) Independent Charges. Whether or not an interim suspension is sought pursuant to BR 3.4(a), the SPRB may direct Disciplinary Counsel to file a formal complaint against the attorney or LP based upon the fact of the attorney's or LP's conviction or the underlying conduct.

(k) Relief From Suspension. If an attorney's or LP's conviction is reversed on appeal, and such reversal is not subject to further appeal or review, or the attorney or LP has been granted a new trial and the order granting a new trial has become final, any suspension or discipline previously ordered based solely on the conviction shall be vacated upon the Disciplinary Board's receipt of the judgment of reversal or order granting the attorney or LP a new trial. Reversal of the attorney's or LP's conviction on appeal or the granting of a new trial does not require the termination of any disciplinary proceeding based upon the same facts which gave rise to the conviction.

(Rule 3.4(d) amended by Order dated March 13, 1989, effective April 1, 1989.)

(Rule 3.4(e) amended by Order dated February 5, 2001. Amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 3.4(e) amended by Order dated October 19, 2009.)

(Former Rule 3.4(d), 3.4(e), 3.4(g), and 3.4(h) deleted; former Rule 3.4(f) and 3.4(i) redesignated as 3.4(j) and 3.4(k); Rule 3.4(d), 3.4(e), 3.4(f), 3.4(g), 3.4(h), and 3.4(i) added; Rule 3.4(a), 3.4(b), 3.4(c), 3.4(j), and 3.4(k) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 3.4(a) through (e), (g), and (i) through (k) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 3.4(a) through (e) (i), and (j) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 3.5 Reciprocal Discipline.

(a) Petition; Notice to Answer. Upon learning that an attorney or LP has been disciplined for misconduct in another jurisdiction not predicated upon a prior discipline of the attorney or LP pursuant to these rules, Disciplinary Counsel shall file with the Disciplinary Board Clerk a petition seeking reciprocal discipline of the attorney or LP. The petition shall include a copy of the judgment, order, or determination of discipline in the other jurisdiction; may be supported by other documents or affidavits; and shall contain a recommendation as to the imposition of discipline in Oregon, based on the discipline in the jurisdiction whose action is reported, and such other information as the Bar deems appropriate. A plea of no contest, a stipulation for discipline, or a resignation while formal charges are pending is considered a judgment or order of discipline for the purposes of this rule. If the Bar seeks imposition of a sanction greater than that imposed in the other jurisdiction, it shall state with specificity the sanction sought and provide applicable legal authority to support its position. The notice to answer shall provide that an answer to the petition must be filed with the Disciplinary Board Clerk within 21 days of service and that, absent the timely filing of an answer with the Disciplinary Board Clerk, the relief sought can be obtained. Disciplinary Counsel shall file the petition with the Disciplinary Board Clerk and shall serve a copy, along with the notice to answer, on the attorney or LP pursuant to BR 1.8.

(b) Order of Judgment; Sufficient Evidence of Misconduct; Rebuttable Presumption. A copy of the judgment, order, or determination of discipline shall be sufficient evidence for the purposes of this rule that the attorney or LP committed the misconduct on which the other jurisdiction's discipline was based. There is a rebuttable presumption that the sanction to be imposed shall be equivalent, to the extent reasonably practicable, to the sanction imposed in the other jurisdiction.

(c) Answer of Attorney or LP. The attorney or LP has 21 days from service to file with the Disciplinary Board an answer addressing whether:

(1) The procedure in the jurisdiction which disciplined the attorney or LP was so lacking in notice or opportunity to be heard as to constitute a deprivation of due process;

(2) The conduct for which the attorney or LP was disciplined in the other jurisdiction is conduct that

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should subject the attorney or LP to discipline in Oregon; and

(3) The imposition of a sanction equivalent to the sanction imposed in the other jurisdiction would result in grave injustice or be offensive to public policy.

The attorney or LP shall mail a copy of their answer to Disciplinary Counsel and file proof of mailing with the Disciplinary Board Clerk.

(d) Default; Hearing. If no answer is timely filed, the Adjudicator may proceed to the entry of an appropriate judgment based upon review of the record. If an answer is timely filed that asserts a defense pursuant to BR 3.5(c)(1), (2), or (3), the Adjudicator, in their discretion, based upon a review of the petition, answer, and any supporting documents filed by either the Bar or the attorney or LP, may either determine on the basis of the record whether the attorney or LP should be disciplined in Oregon for misconduct in another jurisdiction and if so, in what manner, or may determine that testimony will be taken solely on the issues set forth in the answer pertaining to BR 3.5(c)(1), (2), and (3). The Adjudicator shall enter an appropriate order. The Disciplinary Board Clerk shall send copies of the order to the parties. The Adjudicator's decision shall be subject to review by the Supreme Court, as authorized in Title 10 of these rules. On review by the court, the sanction imposed in the other jurisdiction may be a factor for consideration but does not operate as a rebuttable presumption.

(e) Burden of Proof. The attorney or LP has the burden of proving in any hearing held pursuant to BR 3.5(f) that due process of law was not afforded the attorney in the other jurisdiction.

(f) Hearing by Trial Panel; Review by Supreme Court. If the Adjudicator decides to take testimony pursuant to BR 3.5(e), the Adjudicator shall request the regional chairperson to appoint an attorney member and a public member to serve on the trial panel. Upon receiving notice from the Disciplinary Board Clerk of a regional chairperson's appointment of an attorney member and a public member pursuant to BR 2.4, and upon determining that either no timely challenge pursuant to BR 2.4(hg) was filed or that a timely filed challenge pursuant to BR 2.4(gh) has either been denied or resulted in the appointment of a substitute member or members, the Adjudicator shall promptly establish the date and place of the evidentiary hearing no less than 21 days and no more than 42 days thereafter. BR 5.1 and BR 5.3 apply to the evidentiary hearing. The trial panel shall make a decision concerning the issues submitted to it. The Disciplinary Board Clerk shall send copies of the order to the parties. The trial panel's decision shall be subject to review by the Supreme Court as authorized in Title 10 of these rules. On review by the court, the sanction imposed in the other jurisdiction may be a factor for consideration but does not operate as a rebuttable presumption.

(g) Application of Other Rules. Except as specifically provided herein, Title 4, Title 5, and Title 6 of the Rules of Procedure do not apply to proceedings brought pursuant to BR 3.5.

(h) Suspension or Disbarment. An attorney or LP suspended or disbarred under this rule shall comply with the requirements of BR 6.3(a), (b), and (c).

(i) Reinstatement Rules Apply. The rules on reinstatement apply to attorneys or LPs suspended or disbarred pursuant to the procedure set forth in BR 3.5(d), (e), and (f).

(j) Independent Charges. Nothing in this rule precludes the Bar from filing a formal complaint against an attorney or LP for misconduct in any jurisdiction.

(Rule 3.5 amended by Order dated July 16, 1984, effective August 1, 1984.)

(Rule 3.5(h) amended by Order dated March 13, 1989, effective April 1, 1989.)

(Rule 3.5(e) amended by Order dated February 5, 2001. Amended by Order dated June 17, 2003, effective July 1, 2003.) (Former Rule 3.5(d) deleted; former Rule 3.5(e), 3.5(f), and 3.5(g) redesignated 3.5(d), 3.5(e), and 3.5(f); Rule 3.5(c)(3) and 3.5(g) added; Rule 3.5(a), 3.5(b), 3.5(c), 3.5(c)(1), 3.5(c)(2), 3.5(d), 3.5(e), 3.5(f), 3.5(h), 3.5(i), and 3.5(j) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 3.5(e) amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 3.5(a) through (e), and (h) through (j) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 3.5(c), (d), (f), amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 3.6 Discipline By Consent.

(a) Application. Any allegation of misconduct that is neither dismissed nor disposed of pursuant to BR 2.10 may be disposed of by a no contest plea, or by a stipulation for discipline, entered into at any time after the SPRB finds probable cause that misconduct has occurred.

(b) No Contest Plea. A plea of no contest to all causes or any cause of a formal complaint, or to allegations of misconduct if a formal complaint has not been filed, shall be verified by the respondent and shall include:

- (1) A statement that the respondent freely and voluntarily make the plea;
- (2) A statement that the respondent does not desire to defend against the formal complaint or any designated cause thereof, or against an allegation of misconduct not yet pled;
- (3) A statement that the respondent agrees to accept a designated form of discipline in exchange for the no contest plea; and
- (4) A statement of the respondent's prior record of reprimand, suspension or disbarment, or absence of such record.

(c) Stipulation for Discipline. A stipulation for discipline shall be verified by the respondent and shall include:

- (1) A statement that the respondent has freely and voluntarily entered into the stipulation;
- (2) A statement that explains the particular facts and violations to which the Bar and the respondent are stipulating;
- (3) A statement that the respondent agrees to accept a designated form of discipline in exchange for the stipulation; and
- (4) A statement of the respondent's prior record of reprimand, suspension or disbarment, or absence of such record.

(d) Approval of SPRB. Pleas of no contest and stipulations shall be approved as to form by Disciplinary Counsel and approved in substance by the chairperson of the SPRB or a member of the SPRB designated by the chairperson. If the plea or stipulation is acceptable to the respondent and the SPRB chairperson or designated member, and if the full term of the discipline agreed upon does not exceed a 6-month suspension, Disciplinary Counsel shall submit it to the Disciplinary Board Clerk for review by the Adjudicator, acting on behalf of the Disciplinary Board. Otherwise, Disciplinary Counsel shall file the stipulation with the State Court Administrator for review by the Supreme Court.

(e) Review by Adjudicator or Supreme Court. The Adjudicator or the court, as the case may be, shall review the plea or stipulation. If the Adjudicator approves the plea or stipulation, an order shall be issued so stating and filed with the Disciplinary Board Clerk, and the Clerk shall provide copies to Disciplinary Counsel and the respondent. If the court approves the plea or stipulation, an order shall be issued so stating. If the plea or stipulation is rejected by the Adjudicator or the court, it may not be used as evidence of misconduct against the respondent in the pending or in any subsequent disciplinary proceeding.

(f) Costs. In matters submitted under this rule that are resolved by a decision of the Disciplinary Board, the Bar may file a cost bill with the Disciplinary Board Clerk within 21 days of the filing of the decision of the Disciplinary Board. The Bar must serve a copy of the cost bill on the respondent pursuant to BR 1.8. To contest the Bar's statement of costs, the respondent must file an objection supported by a declaration under penalty of perjury with the Disciplinary Board Clerk within 7 days from the date of service. The respondent shall mail a copy of the objection to Disciplinary Counsel and file proof of mailing with the Disciplinary Board Clerk. If the matter is resolved by a decision of the court, the Bar's cost bill and the respondent's objections must be filed

with the court within the same time period, accompanied by proof of service on the other party. The Adjudicator or the court, as the case may be, may fix the amount of the Bar's actual and necessary costs and disbursements incurred in the proceeding to be paid by the respondent.

(g) Supplementing Record. If the Adjudicator or the court concludes that facts are not set forth in sufficient detail to enable forming an opinion as to the propriety of the discipline agreed upon, the Adjudicator or the court may request that additional stipulated facts be submitted or may disapprove the plea or stipulation.

(h) Confidentiality. A plea or stipulation prepared for the Adjudicator or the court's consideration shall not be subject to public disclosure or used as evidence in a disciplinary proceeding:

- (1) prior to Adjudicator or court approval of the plea or stipulation; or
- (2) if rejected by the Adjudicator or court.

(Rule 3.6(d) and (e) amended by Order dated February 23, 1988.)

(Rule 3.6(d) amended by Order dated December 13, 1993. Amended by Order dated June 5, 1997, effective July 1, 1997.)

(Rule 3.6(a), (b), (d) and (e) amended by Order dated February 5, 2001.)

(Rule 3.6(d), (e) and (f) amended by Order dated June 17, 2003, effective July 1, 2003.)

(Former Rule 3.6(b)(i), 3.6(b)(ii), 3.6(b)(iii), 3.6(b)(iv), 3.6(c)(i), 3.6(c)(ii), 3.6(c)(iii), 3.6(c)(iv), and 3.6(h) redesignated as Rule 3.6(b)(1), 3.6(b)(2), 3.6(b)(3), 3.6(b)(4), 3.6(c)(1), 3.6(c)(2), 3.6(c)(3), 3.6(c)(4), 3.6(h)(1), and 3.6(h)(2); Rule 3.6(a), 3.6(b), 3.6(b)(1), 3.6(b)(2), 3.6(b)(3), 3.6(b)(4), 3.6(c), 3.6(c)(1), 3.6(c)(2), 3.6(c)(3), 3.6(c)(4), 3.6(d), 3.6(e), 3.6(f), 3.6(g), 3.6(h), 3.6(h)(1), and 3.6(h)(2) amended by Order dated May 3, 2017, effective January 1, 2018.)

Title 4 — Prehearing Procedure

Rule 4.1 Formal Complaint.

(a) Designation of Counsel and Region. If the SPRB determines that probable cause exists to believe an attorney or LP has engaged in misconduct and that formal proceedings are warranted, it shall refer the matter to Disciplinary Counsel with instructions to file a formal complaint against the attorney or LP, who then becomes the respondent. Disciplinary Counsel, being so advised, may appoint Bar Counsel.

(b) Filing. Disciplinary Counsel shall prepare and file with the Disciplinary Board Clerk a formal complaint against the respondent on behalf of the Bar. The formal complaint shall be in substantially the form set forth in BR 13.1.

(c) Substance of Formal Complaint. A formal complaint shall be signed by Disciplinary Counsel, or their designee, and shall set forth succinctly the acts or omissions of the respondent, including the specific statutes or rules of professional conduct violated, so as to enable the respondent to know the nature of the charge or charges against the respondent. When more than one act or transaction is relied upon, the allegations shall be separately stated and numbered. The formal complaint need not be verified.

(d) Amendment of Formal Complaint. Disciplinary Counsel may amend the formal complaint on behalf of the Bar subject to the requirements of BR 4.4(b) as to any grievance the SPRB has instructed Disciplinary Counsel to file a formal complaint pursuant to BR 4.1(a) and BR 4.1(e).

(e) Consolidation of Charges and Proceedings. The Bar, at the SPRB's direction, may consolidate in a formal complaint two or more causes of complaint against the same attorney or LP or attorneys or LPs, but shall file a separate formal complaint against each respondent. The findings and conclusions thereon may be either joint or separate, as the trial panel, in its discretion, may determine. The Bar, at the discretion of the SPRB, may also consolidate formal complaints against two or more attorneys or LPs for hearing before one trial panel.

(f) Appointment of Trial Panel. Within 30 days following respondent's timely filing of an answer pursuant to BR 4.3, Disciplinary Counsel shall file a request with the Disciplinary Board Clerk that the regional chairperson appoint an attorney and a public member to serve on the trial panel with the Adjudicator.

(Rule 4.1(a) amended by Order dated January 5, 1988. Amended by Order dated June 5, 1997, effective July 1, 1997.)
(Rule 4.1(b) amended by Order dated February 23, 1988.)
(Rule 4.1(a) and (c) amended by Order dated February 5, 2001.)
(Rule 4.1(b) amended by Order dated June 17, 2003, effective July 1, 2003.)
(Former Rule 4.1(d) redesignated as Rule 4.1(e); Rule 4.1(a), 4.1(b), 4.1(c) and 4.1(e) amended; Rule 4.1(d) and 4.1(f) added by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 4.1(a), (e), and (f) amended by Order dated August 17, 2022, effective July 1, 2023.)
(Rule 4.1(c) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 4.2 Service of Formal Complaint.

(a) Manner of Service of Formal Complaint. A copy of the formal complaint, accompanied by a notice to file an answer within fourteen (14) days, may be personally served on the respondent or as otherwise permitted by BR 1.12. The notice to answer shall be in substantially the form set forth in BR 13.2.

(b) Alternative Service of Formal Complaint. The Bar may request the Adjudicator to authorize the service of a formal complaint and notice to answer on the respondent pursuant to ORCP 7 D(6).

(c) Proof of Service of Complaint. Proof of personal service shall be made in the same manner as in a case pending in a circuit court.

(d) Service of Amended Formal Complaint. An amended formal complaint may be served by mail, provided the original formal complaint was served on the respondent in the manner provided by BR 4.2(a) or (b).

(e) Disregard of Error. Failure to comply with any provision of this rule or BR 1.12 shall not affect the validity of service if the respondent received actual notice of the substance and pendency of the disciplinary proceedings.

(Rule 4.2 amended by Order dated June 30, 1987.)
(Rule 4.2(d) added by Order dated February 5, 2001.)
(Rule 4.2(a) amended by Order dated April 26, 2007.)
(Rule 4.2(a), 4.2(b), 4.2(d), and 4.2(e) amended by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 4.2 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 4.3 Answer.

(a) Time to Answer. The respondent shall answer the formal complaint within fourteen (14) days of service of the formal complaint.

(b) Extensions. The respondent may, in writing, request an extension of time to file their answer from the Adjudicator. The request for extension must be received by the Adjudicator within the time the respondent is required to file an answer. The Adjudicator shall respond to the request in writing and shall file a copy of the response with the Disciplinary Board Clerk. Alternatively, if Respondent and Disciplinary Counsel stipulate to one or more extensions of time, such extension is deemed granted by the Adjudicator upon submission of the stipulation to the Disciplinary Board Clerk, unless the Adjudicator files a response within two (2) days.

(c) Form of Answer. The respondent's answer shall be responsive to the formal complaint filed. General denials are not allowed. The answer shall be substantially in the form set forth in BR 13.3 and shall be supported by a declaration under penalty of perjury by the respondent. The original shall be filed with the Disciplinary Board Clerk with proof of service on Disciplinary Counsel.

(Rule 4.3(b) and (c) amended by Order dated February 5, 2001.)
(Rule 4.3(b) and (d) amended by Order dated June 17, 2003, effective July 1, 2003.)
(Former Rule 4.3(c) deleted; former Rule 4.3(d) redesignated as Rule 4.3(c); Rule 4.3(a), 4.3(b), and 4.3(c) amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 4.4 Pleadings, Amendments, and Motions.

(a) Pleadings. The only permissible pleadings shall be a formal complaint and an answer, and amendments thereto. The Adjudicator may request additional pleadings from parties if deemed necessary.

(b) Amendments.

(1) Disciplinary Counsel may amend a formal complaint at any time after filing, subject to any limitation that may be imposed by the Adjudicator as to timing or content in any prehearing order entered pursuant to BR 4.7, in amplification of the original charges, to add new charges, or to withdraw charges. If an amendment is made, the respondent shall file an answer to the amended formal complaint within fourteen (14) days of service. Upon request by respondent for good cause shown, the Adjudicator may give the respondent a reasonable time to procure evidence and to prepare to meet the matters raised by the amended formal complaint.

(2) The respondent may amend an answer at any time after filing, subject to any limitations that may be imposed by the Adjudicator as to timing or content in any prehearing order entered pursuant to BR 4.7. If an answer is amended, the Bar shall be given a reasonable time, set by the Adjudicator, to procure evidence and to prepare to meet the matters raised by the amended answer.

(c) Motions.

(1) An application for an order from the Adjudicator shall be submitted as a motion. Every motion, unless made during the trial, shall state with particularity the reason for the motion and the relief or order sought.

(2) Parties shall not submit motions seeking to dismiss a formal complaint, motion for judgment on the pleadings, motion to make more definite and certain, and motion seeking summary judgment ~~without leave of the Adjudicator.~~

(3) All motions, and any responses, shall be filed with the Disciplinary Board Clerk with proof of service on the other Party. Upon expiration of the time for response, the Adjudicator shall promptly rule on the motion. The Adjudicator shall file rulings on motions with the Disciplinary Board Clerk, and the Clerk shall mail or email copies to the parties.

(4) Oral Argument. The Adjudicator shall decide whether to hear oral argument on motions. Oral argument on any motion may be conducted in person, or by conference telephone/video call.

(5) If a party objects to a nondiscovery motion, the opposing party may submit a written opposition within fourteen (14) days of service of the motion unless the Adjudicator shortens the time for good cause shown. Opposing parties must submit a written opposition to discovery motions within seven (7) days of service of the motion.

(6) No reply is allowed unless ordered by the Adjudicator.

(7) If the formal complaint is not substantially in the form set forth in BR 13.1 as required by BR 4.1(b), or the answer is not substantially in the form set forth in BR 13.3 as required by BR 4.3(c), the opposing party may move for an order requiring the filing party to amend the formal complaint or answer to comply with the applicable rule.

(7)(8) Discovery motions, including motions for limitation of discovery, shall be in writing and shall state "Discovery Motion" in the caption.

(8)(9) Unopposed motions shall include "unopposed" in the caption heading. Stipulated motions shall include "stipulated" in the caption heading.

(9)(10) Motions seeking immediate action or expedited relief shall state in the caption: "Expedited
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Consideration Requested.” If the Adjudicator grants expedited consideration, the Adjudicator shall set an expedited time for filing written opposition to the motion and notify all parties.

(d) Adjudicator Authority. Upon application of either the Bar or the respondent, the Adjudicator may extend or shorten the time for filing any pleading, motion, or any document required or permitted to be submitted, except as otherwise provided in these rules.

(Rule 4.4(b) amended by Order dated February 5, 2001.)

(Rule 4.4(b)(1) and 4.4(b)(2) amended; Rule 4.4(c) added by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 4.4(a) and 4.4(b)(1) amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 4.4 (a), (b) amended; 4.4(c) added, and former 4.4(c) redesignated and amended to 4.4(d) by Order dated December 26, 2023, effective January 1, 2024.)

Rule 4.5 Discovery.

(a) General. Discovery shall be conducted expeditiously by the parties, and shall be completed within fourteen (14) days prior to the date of hearing, unless the Adjudicator extends the time either by stipulated motion, or for good cause shown.

(b) Permitted Discovery.

(1) Requests for admission, requests for production of documents, and depositions may be utilized in disciplinary proceedings.

(2) The manner of taking depositions shall conform as nearly as practicable to the procedure set forth in the Oregon Rules of Civil Procedure. Subpoenas may be issued when necessary by the Adjudicator, Bar Counsel, Disciplinary Counsel, the respondent or their attorney of record. Depositions may be taken any time after service of the formal complaint.

(3) Transcripts of depositions in disciplinary proceedings shall comply with the Oregon Rules of Appellate Procedure as to form. A person who is deposed may request at the time of deposition to examine the person’s transcribed testimony. In such case, the procedure set forth in the Oregon Rules of Civil Procedure shall be followed as practicable.

(4) The manner of making requests for the production of documents shall conform as nearly as practicable to the procedure set forth in the Oregon Rules of Civil Procedure. Requests for production may be served any time after service of the formal complaint with responses due within 21 days.

(5) The manner of making requests for admission shall conform as nearly as practicable to the procedure set forth in the Oregon Rules of Civil Procedure. Requests for admission may be served any time after service of the formal complaint with responses due within 21 days.

(c) Discovery Procedure. The Adjudicator shall resolve all discovery questions.

(d) Limitations on Discovery. In the exercise of their discretion, the Adjudicator shall impose such terms or limitations on the exercise of discovery as may appear necessary to prevent undue delay or expense in bringing the matter to hearing and to promote the interests of justice.

(e) Discovery Sanctions. For failure to provide discovery as required under BR 4.5, the Adjudicator may make such rulings as are just, including, but not limited to, the following:

(1) A ruling that the matters regarding which the ruling was made or any other designated fact are taken to be established for the purposes of the proceeding in accordance with the claim of the party obtaining the ruling; or

(2) A ruling refusing to allow the disobedient party to support or oppose designated claims or defenses, or prohibiting the disobedient party from introducing designated matters in evidence.

Any witness who testifies falsely, fails to appear when subpoenaed, or fails to produce any documents

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pursuant to subpoena is subject to the same orders and penalties to which a witness before a circuit court is subject. Subpoenas issued pursuant to this rule may be enforced by application of the Bar or the respondent to any circuit court. The circuit court shall determine what sanction to impose, if any, for noncompliance.

(f) Rulings Interlocutory. Discovery rulings are interlocutory.

(Rule 4.5(c) amended by Order dated February 23, 1988. Rule 4.5(b) amended by Order April 4, 1991, effective April 15, 1991.)

(Rule 4.5(a) and (c) amended by Order dated February 5, 2001.)

(Rule 4.5(c) amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 4.5(a), 4.5(b)(2), 4.5(b)(3), 4.5(c), 4.5(d), 4.5(e), 4.5(e)(1), and 4.5(e)(2) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 4.5(a) through (d) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 4.6 Prehearing Issue Narrowing and Settlement Conference; Order.

(a) Within 28 days of written notice that the Adjudicator has set the date and place of the trial panel hearing pursuant to BR 2.4(fe)(8), either party may file with the Disciplinary Board Clerk a request for a single prehearing issue narrowing and settlement conference pursuant to this rule. Upon notification from the Disciplinary Board Clerk that a timely request for a BR 4.6 conference has been filed, the Adjudicator shall appoint a member of the Disciplinary Board to serve as the presiding member and conduct the BR 4.6 conference. A conference shall be held no later than 21 days before the scheduled hearing date and shall not exceed one business day in length. The respondent, counsel for the respondent, if any, and Disciplinary Counsel must attend. The purpose of the conference is to narrow factual and legal issues in dispute for trial and to facilitate discussion regarding discipline by consent under BR 3.6, if appropriate. Except for those facts admitted and denied in the prehearing order, under BR 4.7, no oral or written statements or admissions made at or in connection with the prehearing conference shall be admitted as evidence in this or any subsequent Bar disciplinary proceeding. No member of the trial panel appointed in the proceeding shall conduct or participate in the prehearing conference.

(b) At the conclusion of the BR 4.6 conference, the presiding member shall enter an order setting forth agreed and disputed facts and elements of the violations alleged. In the absence of any agreement, the presiding member shall enter an order indicating that the BR 4.6 conference was held and that no agreements resulted. The presiding member shall file the order with the Disciplinary Board Clerk, with copies sent by the Disciplinary Board Clerk to the parties. Agreed facts shall be deemed admitted and need not be proven at the hearing before the trial panel.

(Rule 4.6 added by Order dated December 13, 1993.)

(Rule 4.6 amended by Order dated November 6, 1995. amended by Order dated June 17, 2003, effective July 1, 2003.)

(Former Rule 4.6 redesignated Rule 4.6(a); Rule 4.6(a) amended; and Rule 4.6(b) added by Order dated May 3, 2017, effective January 1, 2018.)

Rule 4.7 Pre-hearing Orders.

(a) At any time after the filing of a formal complaint, the Adjudicator may schedule and convene a prehearing conference that may be conducted by telephone, videoconference, or in person and shall be attended by the respondent, respondent's counsel, if any, and Disciplinary Counsel, upon notice sent by the Disciplinary Board Clerk not less than fourteen (14) days prior to the scheduled date and time, unless the time is shortened by the Adjudicator. Such prehearing conferences are intended to facilitate the efficient conduct of the proceeding and may include discussing the parties' respective estimates of time necessary to present evidence, the availability and scheduling of witnesses, and the preparation of trial exhibits; and the scheduling of pleading amendment and discovery deadlines.

(b) At the conclusion of a prehearing conference, the Adjudicator shall enter an order setting forth all matters discussed and addressed, including any deadlines imposed. The Adjudicator shall file the order with the Disciplinary Board Clerk, and the Disciplinary Board Clerk shall send copies to the parties.

(Rule 4.7 added by Order dated December 13, 1993.)

*(Rule 4.7 amended by Order dated November 6, 1995. Amended by Order dated June 17, 2003, effective July 1, 2003.)
 (Former Rule 4.7 redesignated as Rule 4.7(b); Rule 4.7(a) added; and Rule 4.7(b) amended by Order dated May 3, 2017,
 effective January 1, 2018.)
 (Rule 4.7(a) amended by Order dated May 22, 2019, effective September 1, 2019.)
 (Rule 4.7(a) amended by Order dated December 26, 2023, effective January 1, 2024.)*

Rule 4.8 Trial Briefs.

Trial Briefs, if any, shall be filed with the Disciplinary Board Clerk with copies served on the trial panel no later than seven (7) days prior to the hearing. Where new or additional issues have arisen, the Adjudicator may grant seven (7) days additional time for the filing of trial briefs on those issues.

*(Rule 4.8 (former Rule 2.4(i)(2)) amended by Order dated February 5, 2001. Amended by Order dated June 17, 2003,
 effective July 1, 2003.)
 (Rule 4.8 amended by Order dated May 3, 2017, effective January 1, 2018.)
 (Rule 4.8 amended by Order dated December 26, 2023, effective January 1, 2024.)*

Rule 4.9 Mediation

(a) Mediation. The parties may employ the services of a mediator, other than a member of the trial panel, or if a trial panel is not yet appointed, a member of the Disciplinary Board, to determine the potential for, and to assist the parties in negotiating a settlement of issues in dispute. Mediation is voluntary; both parties must agree to participate in the mediation. The SPRB shall decide for the Bar whether to mediate.

(b) Time of Mediation. Mediation may occur at any time, provided that the mediation shall not delay a hearing before a trial panel scheduled in accordance with BR 5.4. After a trial panel issues a written opinion in the proceeding pursuant to BR 2.4(i)(2), mediation may occur only if authorized by the Adjudicator.

(c) Discipline by Consent. A stipulation for discipline or no contest plea negotiated through mediation is subject to approval by the SPRB, and the Disciplinary Board or the Supreme Court, as the case may be, as set forth in BR 3.6, before it is effective.

(d) Costs. The expense of mediation shall be shared equally by the parties unless the parties agree otherwise.

(e) Confidentiality. Mediation communications, as defined in ORS 36.110, are confidential and may not be disclosed or admitted as evidence in subsequent adjudicatory proceedings, except as provided by ORS 36.226.

*(Rule 4.9 added by Order dated June 17, 2003, effective July 1, 2003.)
 (Rule 4.9(a) and (e) amended by Order dated April 26, 2007.)
 (Rule 4.9(a), 4.9(b) and 4.9(d) amended by Order dated May 3, 2017, effective January 1, 2018.)
 (Rule 4.9(a), (b) amended by Order dated December 26, 2023, effective January 1, 2024.)*

Title 5 — Disciplinary Hearing Procedure

Rule 5.1 Evidence And Procedure.

(a) Rules of Evidence. Trial panels may admit and give effect to evidence that possesses probative value commonly accepted by reasonably prudent persons in the conduct of their affairs. Incompetent, irrelevant, immaterial, and unduly repetitious evidence should be excluded at any hearing conducted pursuant to these rules.

(b) Harmless Error. No error in procedure, in admitting or excluding evidence, or in ruling on evidentiary or discovery questions shall invalidate a finding or decision unless upon a review of the record as a whole, a determination is made that a denial of a fair hearing to either the Bar or the respondent has occurred.

*(Rule 5.1(a) amended by Order dated February 23, 1988.)
 (Rule 5.1(a) and 5.1(b) amended by Order dated May 3, 2017, effective January 1, 2018.)*

Rule 5.2 Burden of Proof.

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The Bar has the burden of establishing misconduct by clear and convincing evidence.

(Rule 5.2 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Title of Rule 5.2 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 5.3 Location of Hearing; Subpoenas; Testimony.

(a) Location. For respondents that maintain an office or residence in Oregon, the trial panel hearing of any Disciplinary Proceeding shall be held either in the county in which the respondent maintains their office for the practice of law or other business, in which they reside, or in which the misconduct is alleged to have occurred, at the Adjudicator's discretion. For any proceeding brought pursuant to these rules other than Title 4 in which the attorney or LP the subject of the proceeding maintains an office or residence in Oregon, and for any proceeding brought pursuant to these rules in which the attorney or LP the subject of the proceeding does not maintain an office or residence in Oregon, the Adjudicator shall designate a location for the hearing. With the respondent's consent, the hearing may be held elsewhere.

(b) Subpoenas. The Chief Executive Officer, the Adjudicator, or regional chairpersons of the Disciplinary Board, Bar Counsel, Disciplinary Counsel and the attorney for the respondent, or the respondent, if appearing without an attorney, shall have the authority to issue subpoenas. Subpoenas shall be issued and served in accordance with the Oregon Rules of Civil Procedure in the same manner as in a case pending in a circuit court. Any witness who testifies falsely, fails to appear when subpoenaed, or fails to produce any documents pursuant to subpoena, is subject to the same orders and penalties to which a witness before a circuit court is subject. Subpoenas issued pursuant this rule may be enforced by application of either party or the Adjudicator to any circuit court. The circuit court shall determine what sanction to impose, if any, for noncompliance.

(c) Board Members as Witnesses. Current members of the Board of Governors shall not testify as witnesses in any Bar admission, discipline or reinstatement proceeding except pursuant to subpoena.

(d) Testimony. Witnesses shall testify under oath or affirmation administered by any member of the Disciplinary Board or by any person authorized by law to administer an oath.

(e) Transcript of Proceedings; Correction of Errors; Settlement Order. Every disciplinary hearing shall be transcribed and shall comply with the Oregon Rules of Appellate Procedure as to form. The transcription shall be certified by the person preparing it. The reporter shall give written notice to Disciplinary Counsel, Bar Counsel, and the respondent of the filing of the transcripts with the Disciplinary Board Clerk, who shall provide copies to the Adjudicator. Within fourteen (14) days after the transcript is filed, the Bar or the respondent may move the Adjudicator for an order to correct any errors appearing in the transcript, by filing a motion with the Disciplinary Board Clerk and serving the other party. Within 7 days the Bar or the respondent, as the case may be, may file a response to the motion with the Disciplinary Board Clerk, serving a copy on the other party. The Adjudicator shall thereafter either deny the motion or direct the making of such corrections as may be appropriate. Upon the denial of the motion or the making of such corrections, the Adjudicator shall file with the Disciplinary Board Clerk an order settling the transcript and the Disciplinary Board clerk shall send copies to the parties.

(Rule 5.3(b) amended by Order dated April 4, 1991, effective April 15, 1991.)

(Rule 5.3(a) amended by Order dated July 22, 1991.)

(Rule 5.3(c), (d), and (e) amended by Order dated June 5, 1997, effective July 1, 1997.)

(Rule 5.3(a) and (e) amended by Order dated February 5, 2001.)

(Rule 5.3(e) amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 5.3(a) amended by Order dated April 26, 2007.)

(Rule 5.3(a), 5.3(b), and 5.3(e) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 5.3(a) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 5.3(a), (b), and (e) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 5.4 Hearing Date; Continuances.

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Except in matters of default pursuant to BR 5.8, the Adjudicator shall establish the hearing date, which shall not be less than 91 days nor more than 182 days following the date the Adjudicator notifies the parties of the date and time for hearing pursuant to BR 2.4(fe)(8). The Adjudicator may grant continuances of the hearing date at any time prior to the hearing, or upon a showing of compelling necessity therefor, the trial panel may grant continuances at the time of the hearing. In no event shall continuances exceed 56 days in the aggregate.

(Rule 5.4 amended by Order dated October 10, 1994.)

(Rule 5.4 amended by Order dated February 5, 2001.)

(Rule 5.4 amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 5.5 Prior Record.

(a) Defined. "Prior record" means any contested admission, disciplinary or reinstatement decision of the Disciplinary Board or the Supreme Court that has become final.

(b) Restrictions on Admissibility. At the fact-finding hearing in a disciplinary proceeding, a respondent's prior record or lack thereof shall not be admissible to prove the character of a respondent or to impeach their credibility.

(Rule 5.5(a-b) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 5.5(b) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 5.6 Evidence of Prior Acts of Misconduct.

Evidence of prior acts of misconduct on the part of a respondent is admissible in a disciplinary proceeding for such purposes as proof of motive, opportunity, intent, preparation, plan, knowledge, identity, or absence of mistake or accident.

(Rule 5.6 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Title of Rule 5.6 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 5.7 Consideration of Sanctions.

Trial panels may receive evidence relating to the imposition of a sanction during a hearing, but are not to consider that evidence until after a determination is made that the respondent is in violation of a rule of professional conduct or statute. Only when the Adjudicator considers it appropriate because of the complexity of the case or the seriousness of the charge or charges, the trial panel may be reconvened to consider evidence in aggravation or mitigation of the misconduct found to have occurred.

(Rule 5.7 amended by Order dated February 23, 1988.)

(Rule 5.7 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Title of Rule 5.7 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 5.8 Default.

(a) Failure to Answer or Appear. If a respondent fails to resign or file an answer to a formal complaint within the time allowed by these rules, or if a respondent fails to appear at a hearing set pursuant to BR 2.4(fe)(8), the Adjudicator may file with the Disciplinary Board Clerk an order finding the respondent in default under this rule and, if so, shall request the regional chairperson to appoint an attorney member and a public member to serve on the trial panel unless a panel has already been appointed. The Disciplinary Board Clerk shall send copies of the order of default to the parties. The trial panel shall thereafter deem the allegations in the formal complaint to be true and either issue its written opinion based on the formal complaint, or, in its sole discretion, after considering evidence or legal authority limited to the issue of sanction. Following entry of an order of default, the respondent is not entitled to further notice in the disciplinary proceeding under consideration, except as may be required by these rules or by statute. The trial panel shall not, absent good cause, continue or delay proceedings due to a respondent's failure to answer or appear.

(b) **Setting Aside Default.** At any time prior to a trial panel's issuing its written opinion, the trial panel may set aside an order of default upon a showing by the respondent that the respondent's failure to resign, answer, or appear timely was the result of mistake, inadvertence, surprise, or excusable neglect. If a trial panel has issued its opinion, a respondent must file any motion to set aside an order of default with the Supreme Court.

(Rule 5.8 amended by Order dated June 29, 1993.)

(Rule 5.8(a) amended by Order dated February 5, 2001. Amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 5.8(a) amended by Order dated October 19, 2009.)

(Rule 5.8(a) and 5.8(b) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 5.8(a) amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 5.8(a) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 5.9 Attorney Assistance Evidence.

(a) **Definition.** For the purposes of this rule, an "attorney assistance program" is any treatment, counseling, training or remedial service, created under ORS 9.568 or otherwise, designed to provide assistance to attorneys or LPs who are suffering from impairment or other circumstances which may adversely affect their professional competence or conduct, or to provide advice and training to attorneys or LPs in practice management.

(b) **Use of Evidence by Respondent.** Subject to the provisions of BR 5.1(a) and this rule, the respondent may offer evidence at a disciplinary hearing concerning the respondent's participation in or communication with an attorney assistance program. If the respondent fails to provide timely notice to Disciplinary Counsel as required under BR 5.9(c), the respondent may not offer evidence of the respondent's participation in or communication with an attorney assistance program at the hearing.

(c) **Prior Notice.** If the respondent intends to offer evidence at a hearing concerning the respondent's participation in or communication with an attorney assistance program, the respondent shall file with the Disciplinary Board Clerk, with proof of service on Disciplinary Counsel, written notice of such intent, not less than 63 days prior to the date the hearing is scheduled to commence. For good cause shown, the Adjudicator may permit the respondent to give the notice within a shorter period of time. The notice shall specify the identity of the attorney assistance program, the nature of the evidence that will be offered, the names of the service providers with whom the respondent dealt, and the names and addresses of witnesses the respondent intends to call to present the evidence. The notice shall also include the consent or waiver required by BR 5.9(d). The respondent shall provide a copy of the notice to the attorney assistance program.

(d) **Discovery.** In the event the respondent provides a notice to Disciplinary Counsel under BR 5.9(c), Disciplinary Counsel may conduct discovery concerning the respondent's participation in or communication with the attorney assistance program. The respondent shall provide any consent or waiver necessary to permit Disciplinary Counsel to obtain discovery from the attorney assistance program or its service providers at the time the respondent provides the notice required by BR 5.9(c). Questions regarding the permissible scope of discovery under this rule shall be resolved by the Adjudicator on motion pursuant to BR 4.5(c).

(e) **Discovery not Public.** Records and information obtained by Disciplinary Counsel through discovery under this rule are not be subject to public disclosure pursuant to BR 1.7(b), consistent with ORS 9.568(3), and may be disclosed by the parties only in the disciplinary proceeding.

(f) **Use of Evidence by Bar.** The Bar shall have the right to introduce evidence obtained through discovery under this rule only if the respondent introduces evidence of participation in or communication with an attorney assistance program.

(g) **Enforcement.** The Adjudicator may issue a protective order and impose sanctions to enforce this rule pursuant to BR 4.5(d) and (e).

(Rule 5.9 added by Order dated November 30, 1999.)

(Rule 5.9(a) amended by Order dated February 5, 2001.)

(Rule 5.9(c) amended by Order dated June 17, 200, effective July 1, 2003.)

(Rule 5.9(b), 5.9(c), 5.9(d), 5.9(e), 5.9(f), and 5.9(g) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 5.9(a) amended by Order dated August 17, 2022, effective July 1, 2023.)

Title 6 — Sanctions And Other Remedies

Rule 6.1 Sanctions.

(a) Disciplinary Proceedings. The dispositions or sanctions in disciplinary proceedings or matters brought pursuant to BR 3.4 or 3.5 are

- (1) dismissal of any charge or all charges;
- (2) public reprimand;
- (3) suspension for periods from 30 days to five years;
- (4) a suspension for any period designated in BR 6.1(a)(3) which may be stayed in whole or in part on the condition that designated probationary terms are met; or
- (5) disbarment.

In conjunction with a disposition or sanction referred to in this rule, a respondent may be required to make restitution of some or all of the money, property, or fees received by the respondent in the representation of a client, or reimbursement to the Client Security Fund.

(b) Effect of Disbarment. An attorney disbarred as a result of a disciplinary proceeding commenced by formal complaint before January 1, 1996, may not apply for reinstatement until five years have elapsed from the effective date of their disbarment. An attorney or LP disbarred as a result of a disciplinary proceeding commenced by formal complaint after December 31, 1995, shall never be eligible to apply and shall not be considered for admission under ORS 9.220 or reinstatement.

(Rule 6.1(a) amended by Order dated May 31, 1984, effective July 1, 1984. Rule 6.1(d) amended by Order dated November 29, 1985, effective December 1, 1985. Rule 6.1(a) amended by Order dated December 14, 1995. Rule 6.1(d) amended by Order dated December 14, 1995. Rule 6.1(e) added by Order dated December 14, 1995. Rule 6.1(a) amended by Order dated June 5, 1997, effective July 1, 1997.)

(Rule 6.1(a) amended by Order dated February 5, 2001.)

(Rule 6.1(a)(iii) – 6.1(a)(v) and 6.1(b) – 6.1(d) amended by Order dated October 19, 2009.)

(Former Rule 6.1(a)(i), 6.1(a)(ii), 6.1(a)(iii), 6.1(a)(iv), 6.1(a)(v), 6.1(b)(i), 6.1(b)(ii), and 6.1(b)(iii) redesignated Rule 6.1(a)(1), 6.1(a)(2), 6.1(a)(3), 6.1(a)(4), 6.1(a)(5), 6.1(b)(1), 6.1(b)(2), and 6.1(b)(3); Rule 6.1(a), 6.1(a)(4), 6.1(c), and 6.1(d) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 6.2(d) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 6.2(b) and (c) deleted and former Rule 6.2(d) redesignated to (b) by Order dated December 26, 2023, effective January 1, 2024.)

Rule 6.2 Probation.

(a) Authority in Disciplinary Proceedings. In cases of stipulated discipline where a suspension of three years or less is imposed, the execution of the suspension may be stayed, in whole or in part, and the respondent may be placed on probation for a period no longer than three years. Probation, if ordered, may be under such conditions as the parties agree to as appropriate. Such conditions may include, but are not limited to, requiring alcohol or drug treatment; requiring medical care; requiring psychological or psychiatric care; requiring professional office practice or management counseling; and requiring periodic audits or reports. In any case where an attorney or LP is placed on probation pursuant to this rule, the Adjudicator or the court may appoint a suitable person or persons to supervise the probation. Cooperation with any person so appointed shall be a condition of the probation.

(b) Authority in Contested Reinstatement Proceedings. Upon determining that an applicant should be conditionally reinstated to membership in the Oregon State Bar, the court may decide to place the applicant on probation for a period no longer than three years. The probationary terms may include, but are not limited to, those provided in BR 6.2(a). The court may appoint a suitable person or persons to supervise the probation. Cooperation with any person so appointed shall be a condition of the probation. An attorney or LP placed on probation pursuant to this rule may have their probation revoked for a violation of any probationary term by petition of Disciplinary Counsel in accordance with the procedures set forth in BR 6.2(d). An attorney or LP whose probation is revoked shall be suspended from the practice of law until further order of the court.

(c) Disciplinary Board. The Disciplinary Board shall not impose probation in cases decided after a trial or a default and shall not conditionally reinstate an applicant after a contested reinstatement hearing.

(d) Revocation Petition; Service; Trial Panel; Setting Hearing. Disciplinary Counsel may petition the Adjudicator or the court, as the case may be, to revoke the probation of any attorney or LP for violation of any probationary term imposed by a trial panel or the court, serving the attorney or LP with a copy of the petition pursuant to BR 1.8. The Adjudicator or the court, as the case may be, may order the attorney or LP to appear and show cause why probation should not be revoked and the original sanction imposed; the court also may refer the matter to the Disciplinary Board for hearing. When revocation of a trial panel probation is sought or the court has referred the matter to the Disciplinary Board for hearing, the Adjudicator shall appoint trial panel members pursuant to BR 2.4(fe)(7) to serve with the Adjudicator on a trial panel that will conduct the show cause hearing and, where applicable, report back to the court. The Disciplinary Board Clerk shall notify the attorney or LP and Disciplinary Counsel in writing of the members to serve on the trial panel. Parties may challenge trial panel members pursuant to BR 2.4(gh) applies. After any timely filed challenges have been ruled upon and any substitute members have been appointed, the Adjudicator shall promptly enter an order that the attorney or LP appear and show cause why probation should not be revoked and the original sanction imposed, and that establishes the date, place, and time of the show cause hearing, which must be held not less than 21 days later. The Disciplinary Board Clerk shall send the parties a copy of the show cause order. At the hearing, Disciplinary Counsel has the burden of proving by clear and convincing evidence that the attorney or LP has violated a material term of probation. If the attorney or LP, after being served with a copy of the petition and sent a copy of the show cause order, fails to appear at the hearing, the trial panel shall deem the allegations in the petition to be true and proceed to issue its written opinion based on the petition. If the revocation matter is within the jurisdiction of the Disciplinary Board, the trial panel's decision shall be filed with the Disciplinary Board Clerk, and the Disciplinary Board Clerk shall send copies to the parties. If the revocation matter is within the court's jurisdiction, the trial panel appointed to conduct the show cause hearing shall report back to the court, and the court shall thereafter rule on the petition. A petition for revocation of an attorney's or LP's probation shall not preclude the Bar from filing independent disciplinary charges based on the same conduct as alleged in the petition.

(e) Application of Other Rules. Except as specifically provided herein, Title 4 and Title 5 of the Rules of Procedure do not apply to proceedings brought pursuant to BR 6.2(d).

(Rule 6.2(b) amended by Order dated July 22, 1991.)

(Rule 6.2(d) amended by Order dated February 5, 2001. Amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 6.2(a), 6.2(b), 6.2(c), and 6.2(d) amended and Rule 6.2(e) added by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 6.2(a), (b) and (d) amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 6.2(a) through (c) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 6.3 Duties Upon Disbarment or Suspension.

(a) Attorney or LP to Discontinue Practice. A disbarred or suspended attorney or LP shall not practice law after the effective date of disbarment or suspension. This rule shall not preclude a disbarred or suspended attorney or LP from providing information on the facts of a case and its status to a succeeding attorney or LP, and such information shall be provided on request.

(b) Responsibilities. It shall be the duty of a disbarred or suspended attorney or LP to immediately take

all reasonable steps to avoid foreseeable prejudice to any client and to comply with all applicable laws and disciplinary rules.

(c) Notice; Return of Client Property. When, as a result of the disbarment or suspension, any active client matter will be left for which no other active member of the Bar, with the consent of the client, has agreed to resume responsibility, the disbarred or suspended attorney or LP shall give written notice of the cessation of practice to the affected clients, opposing parties, courts, agencies, and any other person or entity having reason to be informed of the cessation of practice. Such notice shall be given no later than fourteen (14) days after the effective date of the disbarment or suspension. In the case of a disbarment or a suspension of more than 60 days, client property pertaining to any active client matter shall be delivered to the client or an active member of the Bar designated by the client as substitute counsel.

(d) Contempt. Disciplinary Counsel may petition the Supreme Court to hold a disbarred or suspended attorney or LP in contempt for failing to comply with the provisions of BR 6.3(a), (b), or (c). The court may order the attorney or LP to appear and show cause, if any, why the attorney or LP should not be held in contempt of court and sanctioned accordingly.

(Rule 6.3 amended by Order dated March 13, 1989, effective April 1, 1989.)

(Former Rule 6.3(c) redesignated as Rule 6.3(d); Rule 6.3(c) added; and Rule 6.3(d) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 6.3 amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 6.3(c) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 6.4 Ethics School.

(a) An attorney or LP sanctioned under BR 6.1(a)(2), (a)(3) or (a)(4) shall successfully complete a one-day course of study developed and offered by the Bar on the subjects of legal ethics, professional responsibility and law office management. Successful completion requires that the attorney or LP complete the course offered by the Bar within the designated period established by the Bar, and pay the attendance fee established by the Bar.

(b) An attorney or LP reprimanded under BR 6.1(a)(2) who does not successfully complete the course of study when the course is next offered by the Bar following the effective date of the reprimand may be suspended from the practice of law upon order of the Adjudicator, until the attorney or LP successfully completes the course.

(c) An attorney or LP suspended under BR 6.1(a) shall not be reinstated until the attorney or LP successfully completes the course of study, unless the course is not offered before the attorney's or LP's term of suspension expires, in which case the attorney or LP may be reinstated if otherwise eligible under applicable provisions of Title 8 of these Rules until the course is next offered by the Bar. If the attorney or LP does not successfully complete the course when it is next offered, the attorney or LP may be suspended from the practice of law upon order of the Adjudicator, until the attorney or LP successfully completes the course.

(d) Notwithstanding the provisions of BR 6.4(b) and (c), an extension of time in which to complete the ethics school requirement may be granted by the Bar or the Adjudicator, as the case may be, for good cause shown.

(e) Reinstatement. Subject to the requirements for reinstatement under Title 8, any attorney or LP who has been a member of the Bar or licensed as an LP but suspended for less than five years under this Rule solely for failure to complete the Ethics School requirement shall apply for reinstatement by filing a form prepared by the Bar and paying a \$100 reinstatement fee after the Ethics School requirement has been fulfilled. Upon compliance with the rule, the Chief Executive Officer shall submit a recommendation to the court with a copy to the applicant. No reinstatement is effective until approved by the court. Reinstatement under this rule shall have no effect upon any member's status under any other proceeding under these Rules of Procedure.

(Rule 6.4 added by Order dated December 10, 2010, effective June 1, 2011.)

(Rule 6.4(a), 6.4(b), 6.4(c), and 6.4(d) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 6.4(a), (b), and (c) amended by Order dated August 17, 2022, effective July 1, 2023.)

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(Rule 6.4(a), and (c) amended, and Rule 6.4(e) added by Order dated December 26, 2023, effective January 1, 2024.)

Title 7 — Suspension for Failure to Respond in a Disciplinary Investigation

Rule 7.1 Suspension for Failure to Respond to a Request for Information or a Subpoena.

(a) **Petition for Suspension.** When an attorney or LP fails without good cause to timely respond to a request from Disciplinary Counsel for information or records, or fails to respond to a subpoena issued pursuant to BR 2.2(b)(2), Disciplinary Counsel may petition the Disciplinary Board for an order immediately suspending the attorney or LP until such time as the attorney or LP responds to the request or complies with the subpoena. A petition under this rule shall allege that the attorney or LP has not responded to requests for information or records or has not complied with a subpoena, and has not asserted a good-faith objection to responding or complying. The petition shall be supported by a declaration setting forth the efforts undertaken by Disciplinary Counsel to obtain the attorney's or LP's response or compliance.

(b) **Procedure.** Disciplinary Counsel shall file a petition under this rule with the Disciplinary Board Clerk. The Adjudicator shall have the authority to act on the matter for the Disciplinary Board. A copy of the petition and declaration shall be served on the attorney or LP as set forth in BR 1.8(a).

(c) **Response.** Within fourteen (14) calendar days after service of the petition, the attorney or LP may file a response with the Disciplinary Board Clerk, setting forth facts showing that the attorney or LP has responded to the requests or complied with the subpoena, or the reasons why the attorney or LP has not responded or complied. The attorney or LP shall serve a copy of the response upon Disciplinary Counsel pursuant to BR 1.8(b). Disciplinary Counsel may file a reply to any response with the Disciplinary Board Clerk within 2 business days after being served with a copy of the attorney's or LP's response and shall serve a copy of the reply on the attorney or LP.

(d) **Review by the Disciplinary Board.** Upon review, the Adjudicator shall issue an order that either denies the petition or immediately suspends the attorney or LP from the practice of law for an indefinite period. The Adjudicator shall file the order with the Disciplinary Board Clerk, who shall promptly send copies to Disciplinary Counsel and the attorney or LP.

(e) **Duties upon Suspension.** An attorney or LP suspended from practice under this rule shall comply with the requirements of BR 6.3(a) and (b).

(f) **Independent Charges.** Suspension of an attorney or LP under this rule is not discipline. Suspension or reinstatement under this rule shall not prevent the SPRB from directing Disciplinary Counsel to file a formal complaint against an attorney or LP alleging a violation of RPC 8.1(a)(2), arising from the failure to respond or comply as alleged in the petition for suspension filed under this rule.

(g) **Reinstatement.** Subject to the requirements for reinstatement under Title 8, any attorney or LP who has been a member of the Bar or licensed as an LP but suspended under BR 7.1 solely for failure to respond to requests for information or records or to respond to a subpoena shall be reinstated by the Chief Executive Officer to the membership status from which the person was suspended upon the filing of a Compliance Declaration with Disciplinary Counsel as set forth in BR 13.10.

(Rule 7.1 amended by Order dated November 1, 1984, effective December 1, 1984. Amended by Order dated September 24, 1987, effective October 1, 1987. Rule 7.1 amended by Order dated October 1, 1990. Title 7 amended by Order dated July 22, 1991.)

(Rule 7.1 deleted by Order dated October 19, 2009.)

(Rule 7.1 added by Order dated August 12, 2013, effective November 1, 2013.)

(Rule 7.1(a), 7.1(b), 7.1(c), 7.1(d), 7.1(f), and 7.1(g) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 7.1(a) and 7.1(g) amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 7.1 amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 7.1 amended by Order dated December 26, 2023, effective January 1, 2024.)

Title 8 — Reinstatement

Rule 8.1 Reinstatement — Formal Application Required.

- (a) Applicants. Any person who has been a member of the Bar, but who has
- (1) resigned under Form A of these rules prior to December 1, 2019, more than ten years prior to the date of application for reinstatement and who has not been a member of the Bar during such period; or
 - (2) resigned under Form B of these rules prior to January 1, 1996; or
 - (3) been disbarred as a result of a disciplinary proceeding commenced by formal complaint before January 1, 1996; or
 - (4) been suspended for misconduct for a period of more than 6 months; or
 - (5) been suspended for misconduct for a period of 6 months or less but has remained in a suspended status for a period of more than 6 months prior to the date of application for reinstatement; or
 - (6) [Reserved].
 - (7) been involuntarily transferred to an inactive membership status; or
 - (8) been suspended under BR 7.1 for a period of more than five years prior to the date of application for reinstatement; or
 - (9) been suspended for any reason and has remained in that status more than 10 years.

and who desires to be reinstated as an active member or to resume the practice of law in Oregon shall be reinstated as an active member of the Bar only upon formal application and compliance with the Rules of Procedure in effect at the time of such application. Applicants for reinstatement under this rule must file a completed application with the Bar on a form prepared by the Bar for that purpose. The applicant shall attest that the applicant did not engage in the practice of law except where authorized to do so during the period of the applicant's suspension, disbarment, or resignation. A reinstatement to inactive status is not allowed under this rule. An applicant who has been suspended for a period exceeding 6 months may not apply for reinstatement any earlier than 3 months before the earliest possible expiration of the period specified in the opinion or order imposing suspension.

(b) Required Showing; Effect of Noncooperation.

(1) Each applicant under this rule must show that the applicant has good moral character and general fitness to practice law; that the applicant has reformed since engaging in earlier misconduct, if any; and that the resumption of the practice of law in Oregon by the applicant will not be detrimental to the administration of justice or the public interest. Reformation may be established by evidence, such as:

- (i) character evidence from people who know and have had the opportunity to observe the applicant;
- (ii) evidence of the applicant's participation in activities for the public good;
- (iii) evidence of the applicant's forthrightness in acknowledging earlier wrongdoing;
- (iv) evidence of the applicant's adequate resolution of any previous substance abuse problem; and
- (v) evidence of the applicant's willingness to pay restitution to those people harmed by the applicant's earlier conduct.

In determining whether the evidence is sufficient to establish reformation, the Supreme Court must be satisfied that the applicant has reformed in light of the earlier misconduct.

(2) Each applicant has a duty to cooperate and comply with requests from the Bar in its efforts to assess the applicant's good moral character and general fitness to practice law, including responding to a lawful

demand for information; the execution of releases necessary to obtain information and records from third parties whose records reasonably bear upon character and fitness; and reporting promptly any changes, additions or corrections to information provided in the application.

(3) The Chief Executive Officer may refer to the Board any applicant who, during the pendency of a reinstatement application, engages in conduct that would violate RPC 8.1(a) if done by an attorney or LP, with a recommendation that the Board determine that the applicant has not made the showing required by BR 8.1(b) and recommend to the Supreme Court that the application be denied. No applicant shall resume the practice of law in Oregon or active membership status unless all the requirements of this rule are met.

(c) **Learning and Ability.** In addition to the showing required in BR 8.1(b), each applicant under this rule must show that the applicant has the requisite learning and ability to practice law in Oregon. The Bar may recommend and the Supreme Court may require as a condition precedent to reinstatement that the applicant take and pass the bar examination administered by the BBX, or successfully complete a prescribed course of continuing legal education. Factors to be considered in determining an applicant's learning and ability include, but are not limited to: the length of time since the applicant was an active member of the Bar; whether and when the applicant has practiced law in Oregon; whether the applicant practiced law in any jurisdiction since they were last an active member in Oregon; and whether the applicant has participated in continuing legal education activities since they were last an active member in Oregon.

(d) **Fees.** In addition to the payments required in BR 8.6, an applicant under this rule shall pay an application fee of \$750 at the time the application for reinstatement is filed.

(e) **Review by Chief Executive Officer; Referral of Application to Board.** Notice of and requests for comment on applications filed under BR 8.1 shall be published on the Bar's website for a period of 30 days. If, after review of an application filed under BR 8.1 and any information gathered in the investigation of the application, the Chief Executive Officer determines that the applicant has made the showing required by BR 8.1(b), the Chief Executive Officer shall recommend to the Supreme Court, as provided in BR 8.7, that the application be granted, conditionally or unconditionally. If the Chief Executive Officer is unable to determine from a review of an application and any information gathered in the investigation of the application that the applicant has made the showing required by BR 8.1(b), the Chief Executive Officer shall refer the application to the Board for consideration, with notice to the applicant.

(f) **Board Consideration of Application.** If, after a referral from the Chief Executive Officer, the Board determines from its review of the application and any information gathered in the investigation of the application that the applicant has made the showing required by BR 8.1(b), the Board shall recommend to the Supreme Court, as provided in BR 8.7, that the application be granted, conditionally or unconditionally. If the Board determines that the applicant has not made the showing required by BR 8.1(b), the Board shall recommend to the court that the application be denied.

(g) If either the Chief Executive Officer or the Board recommend to the Supreme Court, under paragraph (e) or (f) of this rule, that the application be granted conditionally or unconditionally, then the court must determine whether the applicant has satisfied the burden of proof set out in BR 8.12. If the court determines that the applicant has not satisfied the burden of proof, the court may deny the application or it may remand to the Chief Executive Officer or the Board, or take any other action that it deems appropriate.

(Rule 8.1(c) and (f) amended by Order dated May 31, 1984, effective July 1, 1984.)

(Rule 8.1(c) amended by Order dated July 27, 1984 nun pro tunc May 31, 1984.)

(Rule 8.1 amended by Order dated March 13, 1989, effective April 1, 1989, corrected June 1, 1989.)

(Rule 8.1(a) and (c) amended by Order dated March 20, 1990, effective April 2, 1990.)

(Rule 8.1(a), (c), and (d) amended by Order dated December 14, 1995.)

(Rule 8.1(a) amended by Order dated February 5, 2001.)

(Rule 8.1(d) amended by Order dated October 19, 2009.)

(Rule 8.1(c) amended and Rule 8.1(e) and (f) added by Order dated April 5, 2013.)

(Rule 8.1(a)(i), 8.1(a)(ii), 8.1(a)(iii), 8.1(a)(iv), 8.1(a)(v), 8.1(a)(vi), 8.1(a)(vii), and 8.1(a)(viii) redesignated as Rule 8.1(a)(1),

8.1(a)(2), 8.1(a)(3), 8.1(a)(4), 8.1(a)(5), 8.1(a)(6), 8.1(a)(7), and 8.1(a)(8); Rule 8.1(a), 8.1(a)(4), 8.1(a)(5), 8.1(a)(6), 8.1(a)(7), 8.1(a)(8), 8.1(b), 8.1(c), 8.1(d), 8.1(e), and 8.1(f) amended by Order dated May 3, 2017, effective January 1, 2018.) (Rule 8.1(a)(1) amended by Order dated May 22, 2019, effective September 1, 2019.) (Rule 8.1(b) amended and redesignated BR 8.1(b)(1), 8.1(b)(2), and 8.1(b)(3) and Rule 8.1(g) added by Order dated October 27, 2019, effective December 1, 2019.) (Rule 8.1(a)(9) added by Order dated October 15, 2020, effective November 14, 2020.) (Rule 8.1(a) amended by Order dated December 8, 2020.) (Rule 8.1(a), Rule 8.1(a)(1), 8.1(a)(6), 8.1(a)(7), 8.1(a)(8), 8.1(a)(9), 8.1(c), and 8.1(d) amended by Order dated December 14, 2022, effective January 1, 2023.) (Rule 8.1(b)(3) amended by Order dated August 1, 2023.)

Rule 8.2 [Reserved. Reinstatement — Informal Application Required moved to Rules of Licensure 11.5 Streamlined Reinstatement].

~~(a) Applicants. Any person who has been a member of the Bar, but who~~

~~(1) resigned under Form A of these rules prior to December 1, 2019, and 10 years or less prior to the date of application for reinstatement, and who has not been a member of the Bar during such period; or~~

~~(2) is presently enrolled voluntarily as an inactive, retired, or pro bono member; or~~

~~(3) has been suspended for failure to pay the Professional Liability Fund assessment, Client Security Fund assessment, or membership fees or penalties and has remained in that status for more than 6 months but not in excess of 10 years prior to the date of application for reinstatement; or~~

~~(4) been suspended for failure to comply with the Minimum Continuing Legal Education (MCLE) Rules and Regulations, or for failure to file with the Bar a certificate disclosing lawyer trust accounts and has remained in that status for more than 6 months but not in excess of 10 years prior to the date of application for reinstatement; or~~

~~(5) has been suspended under BR 7.1 and has remained in that status more than 6 months but not in excess of 5 years prior to the date of application for reinstatement; or~~

~~(6) has been suspended solely for failure to pay the Professional Liability Fund assessment, Client Security Fund assessment, or membership fees or penalties and has remained in that status for more than 6 months but not in excess of 10 years prior to the date of application for reinstatement and seeks reinstatement to inactive or retired status;~~

~~may be reinstated by the Chief Executive Officer by filing an informal application for reinstatement with the Bar and compliance with the Rules of Procedure in effect at the time of such application. The informal application for reinstatement shall be on a form prepared by the Bar for such purpose. The applicant shall attest that the applicant did not engage in the practice of law except where authorized to do so during the period of the applicant's inactive, retired, or active pro bono status, suspension, or resignation. No applicant shall resume the practice of law in Oregon, or active, inactive, retired, active pro bono membership status, unless all the requirements of this rule are met.~~

~~(b) Required Showing. Each applicant under this rule must show that the applicant has good moral character and general fitness to practice law, and that the applicant's resumption of the practice of law in Oregon will not be detrimental to the administration of justice or the public interest. Each applicant has a duty to cooperate and comply with requests from the Bar in its efforts to assess the applicant's good moral character and general fitness to practice law, including responding to a lawful demand for information; the execution of releases necessary to obtain information and records from third parties whose records reasonably bear upon character and fitness; and reporting promptly any changes, additions or corrections to information provided in the application. The Chief Executive Officer may refer to the Board any applicant who, during the pendency of a reinstatement application, engages in conduct that would violate RPC 8.1(a) if done by an attorney, with a recommendation that the Board determine that the applicant has not made the showing required by BR 8.1(b) and recommend to the Supreme Court that the application be denied. No applicant shall resume the practice~~

~~of law in Oregon or active membership status unless all the requirements of this rule are met.~~

~~(c) Learning and Ability. In addition to the showing required in BR 8.2(b), each applicant under this rule must show that the applicant has the requisite learning and ability to practice law in Oregon. The Bar may recommend the applicant successfully complete a prescribed course of continuing legal education. Factors to be considered in determining an applicant's learning and ability include, but are not limited to: the length of time since the applicant was an active member of the Bar; whether and when the applicant has practiced law in Oregon; whether the applicant practiced law in any jurisdiction during the period of the applicant's suspension, resignation, inactive, or retired status since they were last an active member in Oregon; and whether the applicant has participated in continuing legal education activities during the period of suspension, inactive, or retired status in Oregon since they were last an active member in Oregon. The following are minimum criteria to establish learning and ability in an informal process:~~

~~(1) Applicants who have not practiced law or completed continuing legal education courses in any jurisdiction for more than five years will be required to complete a minimum of 15 credits of continuing legal education.~~

~~(2) Applicants who have not practiced law or completed continuing legal education courses in any jurisdiction for more than ten years will be required to complete a minimum of 45 credits of continuing legal education.~~

~~(3) Applicants who have not practiced law or completed continuing legal education courses in any jurisdiction for more than 15 years will be required to complete a minimum of 45 credits of continuing legal education or may be required to take and pass the bar exam administered by the BBX.~~

~~(4) Notwithstanding the amount of time that an applicant has been suspended, inactive, or otherwise in an other than active status, any applicant who has been actively engaged in the authorized full-time practice of law for no less than 24 of the 48 months immediately preceding their application will be deemed to have met the learning and ability standard.~~

~~(d) Fees. In addition to the payments required in BR 8.6, an applicant under this rule shall pay an application fee of \$300 at the time the application for reinstatement is filed.~~

~~(e) Exceptions. Any applicant otherwise qualified to file for reinstatement under this rule but who~~

~~(1) during the period of the member's suspension, resignation, active pro bono, inactive, or retired status has been convicted in any jurisdiction of an offense that is a misdemeanor involving moral turpitude or a felony under the laws of this state, or is punishable by death or imprisonment under the laws of the United States; or~~

~~(2) during the period of the member's suspension, resignation, active pro bono, inactive, or retired status, has been suspended for professional misconduct for more than six months or has been disbarred by any court other than the Supreme Court; or~~

~~(3) has engaged in conduct that raises issues of possible violation of the Bar Act, former Code of Professional Responsibility, or Rules of Professional Conduct; shall be required to seek reinstatement under BR 8.1. Any applicant required to apply for reinstatement under BR 8.1 because of this rule shall pay all fees, assessments and penalties due and delinquent at the time of the applicant's resignation, suspension or transfer to inactive status, and an application fee of \$750 to the Bar at the time the application for reinstatement is filed, together with any payments due under BR 8.6.~~

~~(f) Referral of Application to Board. If the Chief Executive Officer is unable to determine from a review of an informal application and any information gathered in the investigation of the application that the applicant for reinstatement has made the showing required by BR 8.2(b), the Chief Executive Officer shall refer the application to the Board for consideration, with notice to the applicant.~~

~~(g) Board Consideration of Application. If, after a referral from the Chief Executive Officer, the Board determines from its review of the informal application and any information gathered in the investigation of the application that the applicant for reinstatement has made the showing required by BR 8.2(b), the Board~~

~~shall reinstate the applicant. If the Board determines that the applicant has not made the showing required by BR 8.2(b), the Board shall deny the application for reinstatement. The Board also may determine that an application filed under BR 8.2 be granted conditionally. The Board shall file an adverse recommendation or a recommendation of conditional reinstatement with the Supreme Court under BR 8.7.~~

~~(h) — Suspension of Application. If the Chief Executive Officer or the Board, as the case may be, determines that additional information is required from an applicant regarding conduct during the period of suspension, resignation, inactive, or retired status, the Chief Executive Officer or the Board, as the case may be, may require additional information concerning the applicant's conduct and defer consideration of the application for reinstatement until the required information is obtained.~~

(Rule 8.2(b) amended by Order dated May 31, 1984, effective July 1, 1984.)

(Rule 8.2 amended by Order dated March 13, 1989, effective April 1, 1989.)

(Rule 8.2 (a) and (b) amended by Order dated March 20, 1990, effective April 2, 1990.)

(Rule 8.2(a) amended by Order dated December 28, 1993.)

(Rule 8.2(a) amended by Order dated December 14, 1995.)

(Rule 8.2 amended by Order dated December 9, 2004, effective January 1, 2005.)

(Rule 8.2(d)(iii) amended by Order dated April 26, 2007.)

(Rule 8.2(c) and 8.2(d) amended by Order dated October 19, 2009.)

(Rule 8.2(a)(iv) added by Order dated June 6, 2012.)

(Rule 8.2(a)(v) added by Order dated August 12, 2013, effective November 1, 2013.)

(Rule 8.2(a)(i), 8.2(a)(ii), 8.2(a)(iii), 8.2(a)(iv), 8.2(a)(v), 8.2(d)(i), 8.2(d)(ii), and 8.2(d)(iii) redesignated as Rule 8.2(a)(1), 8.2(a)(2), 8.2(a)(3), 8.2(a)(4), 8.2(a)(5), 8.2(d)(1), 8.2(d)(2), and 8.2(d)(3); Rule 8.2(a), 8.2(a)(1), 8.2(a)(2), 8.2(a)(3), 8.2(a)(4), 8.2(a)(5), 8.2(b), 8.2(c), 8.2(d)(1), 8.2(d)(2), 8.2(d)(3), 8.2(e), 8.2(f), and 8.2(g) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 8.2(a), 8.2(a)(1), and 8.2(d)(1) amended and Rule 8.2(a)(6) and 8.2(a)(7) added by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 8.2(a)(8) added and Rule 8.2(d)(1) and 8.2(d)(2) amended by Order dated October 15, 2020, effective November 14, 2020.)

(Rule 8.2(g) amended by Order dated December 8, 2020.)

(Rule 8.2(a)(4) was amended by Order dated October 31, 2022, effective November 1, 2022.)

(Rule 8.2(a), 8.2(a)(1-6), 8.2(c), 8.2(c)(1-4), and Rule 8.2(d-g) redesignated as Rule 8.2(d-h) amended, Rule 8.2(a)(7) and 8.2(a)(8) deleted by Order dated December 14, 2022, effective January 1, 2023.)

Rule 8.3 Reinstatement — Compliance Affidavit.

(a) Applicants. Subject to the provisions of BR 8.1(a)(5), any person who has been a member of the Bar but who has been suspended for misconduct for a period of six months or less may be reinstated upon the filing of a Compliance Declaration with Disciplinary Counsel as set forth in BR 13.9, unless the court or Disciplinary Board in any suspension order or decision shall have directed otherwise, or new charges have been authorized against the attorney by the State Professional Responsibility Board.

(b) Fees. In addition to the payments required in BR 8.6, an applicant under this rule shall pay an application fee of \$250 at the time the application for reinstatement is filed.

(Rule 8.3 established by Order dated March 13, 1989, effective April 1, 1989.)

(Rule 8.3(a) amended by Order dated December 28, 1993.)

(Rule 8.3(b) amended by Order dated October 19, 2009.)

(Rule 8.3(a) and 8.3(b) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 8.3 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 8.4 ~~Reserved~~ - Reinstatement — Financial, Noncompliance With Minimum Continuing Legal Education, or Trust Account Certification Matters ~~moved to Rules of Licensure 11.4 Administrative Reinstatement~~]-

~~(a) Applicants. This rule applies to any person who has been a member of the Bar but has been suspended solely for failure to pay the Professional Liability Fund assessment, Client Security Fund assessment or annual membership fees or penalties, or failure to file a certificate disclosing lawyer trust accounts.~~

~~(b) Reinstatement Requirements. An Applicant described in Rule 8.4(a) may be reinstated by the Chief~~

Executive Officer to the membership status from which the person was suspended within six months from the date of the applicant's suspension, upon payment to the Bar of all applicable assessments, fees and penalties owed by the member to the Bar, and also,

- (1) for members suspended for failure to pay membership fees or penalties or the Client Security Fund assessment, payment of a reinstatement fee of \$100;
- (2) for members suspended for failure to pay the Professional Liability Fund assessment, payment of a reinstatement fee of \$100;
- (3) for members suspended for failure to pay both membership fees or penalties or the Client Security Fund assessment, and the Professional Liability Fund assessment, payment of a reinstatement fee of \$200;
- (4) for members suspended for failure to file a lawyer trust account certificate, filing such a certificate with the Bar and payment of a reinstatement fee of \$100; or
- (5) for members suspended for failure to comply with MCLE Rules and Regulations, cure of noncompliance as described in MCLE Rule 7.5 together with payment of a reinstatement fee of \$100.

(c) Reinstatement Request. An applicant seeking reinstatement under this rule must submit a written request to the Chief Executive Officer together with payment of all required sums. The request shall be on a form prepared by the Bar for that purpose including an explanation how the applicant has complied with this rule and an attestation that the applicant did not engage in the practice of law except where authorized to do so during the period of the applicant's suspension. The applicant shall submit the written request within six months from the date of the applicant's suspension.

(d) Exceptions. Any applicant otherwise qualified to request reinstatement under this rule but who, during the period of the member's suspension, has been suspended for misconduct for more than six months or been disbarred by any court other than the Supreme Court, must seek reinstatement under BR 8.1. Any applicant required to apply for reinstatement under BR 8.1 pursuant to this rule shall pay all fees, assessments and penalties due and delinquent at the time of the applicant's suspension and an application fee of \$500 to the Bar at the time the application for reinstatement is filed, together with any payments due under BR 8.6.

(Rule 8.4 (former BR 8.3) amended by Order dated March 13, 1989, effective April 1, 1989.)

(Rule 8.4(a)(ii) — 8.4(a)(iv) and 8.4(b) amended by Order dated October 19, 2009.)

(Rule 8.4(a) amended by Order dated June 6, 2012.)

(Rule 8.4(a)(i), 8.4(a)(iii), 8.4(a)(iii), 8.4(a)(iv), and 8.4(a)(v) redesignated as Rule 8.4(a)(1), 8.4(a)(2), 8.4(a)(3), 8.4(a)(4), and 8.4(a)(5); Rule 8.4(a) and 8.4(b) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 8.4(a), 8.4(a)(1), 8.4(a)(2), 8.4(a)(3), 8.4(a)(4), and Rule 8.4(b) redesignated as Rule 8.4(a), 8.4(b)(1), 8.4(b)(2), 8.4(b)(3), 8.4(b)(4), 8.4(b)(5), 8.4(c), and Rule 8.4(d) amended by Order dated October 31, 2022, effective November 1, 2022.)

Rule 8.5 Reinstatement — Noncompliance With Ethics School Requirements.

(a) Applicants. Subject to BR 8.1(a)(viii), any person who has been a member of the Bar but suspended solely for failure to comply with the requirements of the Ethics School established by BR 6.4 may seek reinstatement at any time subsequent to the date of the applicant's suspension by meeting the following conditions:

- (1) Completing the requirements that led to the suspension;
- (2) Filing a written statement with the Chief Executive Officer, on a form prepared by the Bar ~~for that purpose~~, which establishes applicant has completed Ethics School required under BR 6.4 compliance with this rule and the applicable Ethics School Rule and attests that the applicant did not engage in the practice of law except where authorized to do so during the period of the applicant's suspension; and
- (3) Submitting a reinstatement fee of \$100 at the time of filing the written statement.

(b) Referral to Supreme Court. Upon compliance with the requirements of this rule, the Chief Executive Officer shall submit a recommendation to the court with a copy to the applicant. No reinstatement is effective until approved by the court.

- (c) Exception. Reinstatement under this rule shall have no effect upon any member's status under any other proceeding under these Rules of Procedure.

(Rule 8.4 established by Order dated November 24, 1987, effective January 1, 1988.)

(Rule 8.5 (former BR 8.4) amended by Order dated March 13, 1989, effective April 1, 1989.)

(Rule 8.5(a) amended by Order dated December 14, 1995.)

(Rule 8.5(a) amended by Order dated October 19, 2009.)

(Rule 8.5(a) amended by Order dated June 6, 2012.)

(Rule 8.5(a)(i), 8.5(a)(ii), and 8.5(a)(iii) redesignated as Rule 8.5(a)(1), 8.5(a)(2), and 8.5(3); Rule 8.5(a), 8.5(a)(2), 8.5(a)(3), and 8.5(b) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 8.5(a) and 8.5(a)(2) amended by order dated October 31, 2022, effective November 1, 2022.)

Rule 8.6 Other Obligations Upon Application.

(a) Financial Obligations. Each applicant seeking reinstatement shall pay to the Bar, at the time the application for reinstatement is filed, all past due assessments, fees, and penalties owed to the Bar for prior years, and the membership fee and Client Security Fund assessment for the year in which the application for reinstatement is filed, less any active or inactive membership fees or Client Security Fund assessment paid by the applicant previously for the year of application. Each applicant under BR 8.1(a)(1) and BR 8.1(a)(8), shall also pay to the Bar, at the time of application, an amount equal to \$100 for each year the applicant remained suspended or resigned, and for which no membership fee has been paid. ~~Each applicant under BR 8.2(a)(1), BR 8.2(a)(3), or (4) shall also pay to the Bar, at the time of application, an amount equal to \$100 for each year the applicant remained suspended or resigned and for which no membership fee has been paid.~~ Each applicant shall also pay, upon reinstatement, any applicable assessment to the Professional Liability Fund.

(b) Judgment for Costs; Client Security Fund Claim. Each applicant shall also pay to the Bar, at the time of application:

- (1) any unpaid judgment for costs and disbursements assessed in a disciplinary or contested reinstatement proceeding; and
- (2) an amount equal to any claim paid by the Client Security Fund due to the applicant's conduct, plus accrued interest thereon.

(c) Refunds. In the event an application for reinstatement is denied, the Bar shall refund to the applicant the membership fees and assessments paid for the year the application was filed, less the membership fees and assessments that applied during any temporary reinstatement under BR 8.7.

(d) Adjustments. In the event an application for reinstatement is filed in one year and not acted upon until the following year, the applicant shall pay to the Bar, prior to reinstatement, any increase in membership fees or assessments since the date of application. If a decrease in membership fees and assessments has occurred, the Bar shall refund the decrease to the applicant.

(Rule 8.6(a) and (b) amended by Order dated December 14, 1995.)

(Rule 8.6(a), (b) and (c) amended by Order dated February 5, 2001.)

(Rule 8.6(a) amended by Order dated June 6, 2012.)

(Rule 8.6(a) amended by Order dated August 10, 2015.)

(Rule 8.6(b)(i) and 8.6(a)(ii) redesignated as Rule 8.6(b)(1) and 8.6(b)(2); Rule 8.6(a) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 8.6(a) amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 8.6(a) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 8.7 ~~Board~~ Investigation and Favorable Recommendation; Voluntary Conditional Reinstatements and

Temporary Reinstatements.(a) Investigation and Recommendation.

(1) On the filing of an application for reinstatement under BR 8.1 ~~and BR 8.2~~ in which the applicant seeks reinstatement for reasons other than previously imposed discipline, Regulatory Counsel shall conduct such investigation as it deems proper and report to the Chief Executive Officer.

~~as the case may be.~~ (2) ~~On the filing of an~~ ~~For all~~ ~~applications for reinstatement under filed pursuant to~~ BR 8.1 ~~or BR 8.2(d)~~ in which applicants seek reinstatement as a result of imposed discipline ~~or as otherwise provided in BR 8.2(d)~~, Disciplinary Counsel shall conduct such investigations as it deems proper and report to the Chief Executive Officer, as necessary.

(b) Favorable Recommendations. For applications filed under BR 8.1, the Chief Executive Officer, ~~as the case may be,~~ shall recommend to the Supreme Court that the application be granted, either conditionally or unconditionally, ~~or denied,~~ and shall mail a copy of ~~its~~ the recommendation to the applicant.

(a)-(c)Voluntary Conditional Reinstatement.

(1) ~~For applications filed under BR 8.1, if the Bar's investigation establishes concerns about an applicant's current or future character and fitness practicing law due to past conduct; the Bar may propose to the applicant to recommend to the court a voluntary conditional reinstatement of the applicant with probationary conditions to mitigate concerns about an applicant's character and fitness. The applicant must agree to submit such a recommendation.~~

~~Upon receipt of a recommendation of voluntary conditional reinstatement, the court may approve or modify the recommendation, including approving any probationary conditions imposed; or the court may deny the recommendation.~~

(2)(d) Temporary Reinstatements.

(1) Except as provided ~~herein~~ in subsection (2) of this rule, upon making a determination that an ~~the~~ applicant is of good moral character and generally fit to practice law, the Chief Executive Officer may temporarily reinstate ~~an~~ ~~them~~ applicant pending receipt of all investigatory materials. A temporary reinstatement shall not exceed a period of four months unless authorized by the court.

~~(b)~~ (2) An applicant who seeks reinstatement following a suspension or disbarment for professional misconduct, or an involuntary transfer to inactive status is not eligible for, ~~shall not be~~ temporarily reinstated ~~pursuant to this rule.~~

~~(c) Conditional Reinstatement. The Bar may make a recommendation for voluntary conditional reinstatement to the Court for a formal reinstatement under BR 8.1 or BR 8.2 if the Bar's investigation establishes concerns about the applicant's current or future character and fitness practicing law due to past conduct. The Bar may propose to the applicant to recommend to the court voluntary conditional reinstatement of the applicant with probationary conditions to mitigate concerns about an applicant's character and fitness. The applicant must agree to voluntary conditional reinstatement for the Bar to submit a recommendation of voluntary conditional reinstatement to the court. All voluntary conditional reinstatements, including probationary conditions, require approval from the Court. The Court may modify or deny conditional reinstatement.~~

(Rule 8.7 amended by Order dated December 28, 1993.)

(Rule 8.7(a) amended by Order dated December 9, 2004, effective January 1, 2005.)

(Rule 8.7(a) and (b) amended by Order dated April 5, 2013.)

(Rule 8.7(a) and 8.7(b) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 8.7(a) amended by Order dated December 8, 2020.)

(Rule 8.7(a) and (b) amended, and Rule 8.7(c) added by Order dated December 26, 2023, effective January 1, 2024.)

Rule 8.88 Petition to Review Adverse Recommendation.

(a) This rule applies when the Bar has filed an adverse recommendation with the Supreme Court, under BR Title 8 or RL Title 11.

~~(a)~~ Not later than 28 days after the Bar files an adverse recommendation as described in subsection (a) of this Rule, regarding the applicant with the Supreme Court, an applicant who ~~seeks~~desires to contest the Bar's recommendation shall file with the ~~State Court~~court

~~(b) Administrator~~ a petition stating ~~in substance~~ that the applicant ~~wishes~~desires to have the case reviewed by the court, serving a copy on Disciplinary Counsel. The State Court Administrator shall give written notice of such a referral to the Disciplinary Board Clerk, Disciplinary Counsel, and the applicant. The applicant's resignation, disbarment, suspension, ~~or inactive, or retired membership status shall remain in effect until the court's final disposition of the petition.~~

~~—(c) Upon de novo review, the court may allow the petition and grant reinstatement or deny reinstatement.~~

If the court considers it appropriate, it also may

(1) Grant conditional reinstatement, including approved probationary conditions;

(2) Refer the petition to the Disciplinary Board to inquire into the applicant's moral character and general fitness to practice law, or to otherwise inquire into any other issue relating to the requirements for reinstatement; -or

~~(b)(3) If the court determines that the applicant has not satisfied the burden of proof set out in BR 8.12, the court may deny the application or it may remand to the Board, or take any other action that it deems appropriate.~~

(Rule 8.8 amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 8.8 amended by Order dated April 5, 2013.)

(Rule 8.8 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 8.8 amended and redesignated as Rule 8.8(a) and 8.8(b) by Order dated October 27, 2019, effective December 1, 2019.)

Rule 8.9 Procedure on Referral By Supreme Court.

On receipt of notice of a referral to the Disciplinary Board under BR 8.8, Disciplinary Counsel may appoint Bar Counsel to represent the Bar. Disciplinary Counsel or Bar Counsel shall prepare and file with the Disciplinary Board Clerk, with proof of service on the applicant, a statement of objections. The statement of objections shall be substantially in the form set forth in BR 13.5.

(Rule 8.9 amended by Order dated February 5, 2001. Amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 8.9 amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 8.10 Answer to Statement Of Objections.

The applicant shall answer the statement of objections within 14 days after service of the statement and notice to answer upon the applicant. The answer shall be responsive to the objections filed. General denials are not allowed. The answer shall be substantially in the form set forth in BR 13.3 and shall be filed with the Disciplinary Board Clerk, with proof of service on Disciplinary Counsel. After the answer is filed or upon the expiration of the time allowed in the event the applicant fails to answer, the matter shall proceed to hearing.

(Rule 8.10 amended by Order dated July 17, 2003, effective July 1, 2003.)

(Rule 8.10 amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 8.11 Hearing Procedure.

Titles 4, 5, and 10 apply as far as practicable to reinstatement proceedings referred by the Supreme Court to the Disciplinary Board for hearing.

(Rule 8.11 amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 8.12 Burden of Proof.

An applicant has the burden of proving the elements of the applicable standard by clear and convincing evidence.

(Rule 8.12 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 8.12 amended by Order dated October 27, 2019, effective December 1, 2019.)

Rule 8.13 Burden Of Producing Evidence.

While an applicant for reinstatement has the ultimate burden of proof to establish good moral character and general fitness to practice law, the Bar shall initially have the burden of producing evidence in support of its position that the applicant should not be readmitted to the practice of law.

Rule 8.14 Reinstatement and Transfer--Active Pro Bono.

(a) Reinstatement from Inactive Status. An applicant who has been enrolled voluntarily as an inactive member and who has not engaged in any of the conduct described in BR 8.2(d) may be reinstated by the Chief Executive Officer to Active Pro Bono status. The Chief Executive Officer may deny the application of such an applicant for reinstatement for the reasons set forth in BR 8.2(d), in which case the applicant may be reinstated only upon successful compliance with all of the provisions of BR 8.2. The application for reinstatement to Active Pro Bono status shall be on a form prepared by the Bar for such purpose. No fee is required.

(b) Transfer to Regular Active Status. An applicant who has been on Active Pro Bono status for a period of 5 years or less and who desires to be eligible to practice law without restriction may be transferred to regular active status in the manner provided in and subject to the requirements of BR 8.1 and BR 8.2.

(Rules 8.5 - 8.11 amended by Order dated November 24, 1987, effective January 1, 1988.)

(Rules 8.6 - 8.13 amended by Order dated March 13, 1989, effective April 1, 1989.)

(Rule 8.14 added by Order dated September 6, 2001, effective September 6, 2001.)

(Rule 8.14(a) and (b) amended by Order dated October 19, 2009.)

(Rule 8.14(a) and 8.14(b) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 8.14(b) amended by Order dated October 15, 2020, effective November 14, 2020.)

Title 9 — Resignation**Rule 9.1 Resignation.**

An attorney or LP may resign membership in the Bar by filing a resignation that shall be effective only on acceptance by the Supreme Court. If no inquiries or grievances involving the attorney or LP are under investigation by the Bar, no disciplinary proceedings are pending against the attorney or LP, the attorney or LP is not suspended, disbarred, or on probation pursuant to BR 6.1 or BR 6.2, and the attorney or LP is not charged in any jurisdiction with an offense that is a misdemeanor that may involve moral turpitude, a felony under the laws of this state, or a crime punishable by death or imprisonment under the laws of the United

States, the resignation must be on the form set forth in BR 13.6 and shall be filed with Regulatory Counsel. In all other circumstances, the resignation must be on the form set forth in BR 13.7 and shall be filed with Disciplinary Counsel.

(Rule 9.1 amended by Order dated February 5, 2001.)

(Rule 9.1 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 9.1 amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 9.1 amended by Order dated December 8, 2020.)

(Rule 9.1 amended by Order dated August 17, 2022, effective July 1, 2023.)

Rule 9.2 Acceptance Of Resignation.

Disciplinary or Regulatory Counsel, as the case may be, shall promptly forward the resignation to the State Court Administrator for submission to the Supreme Court. Upon acceptance of the resignation by the court, the name of the resigning attorney or LP shall be stricken from the roll of attorneys or LPs; and they shall no longer be entitled to the rights or privileges of an attorney or LP, but shall remain subject to the jurisdiction of the court with respect to matters occurring while they were an attorney or LP. Unless otherwise ordered by the court, any pending investigation of charges, allegations, or instances of alleged misconduct by the resigning attorney or LP shall, on the acceptance by the court of their resignation, be closed, as shall any pending disciplinary proceeding against the attorney or LP.

(Rule 9.2 amended by Order dated February 5, 2001.)

(Rule 9.2 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 9.2 amended by Order dated December 8, 2020.)

(Rule 9.2 amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 9.2 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 9.3 Duties Upon Resignation.

(a) Attorney or LP to Discontinue Practice. An attorney or LP who has resigned membership in the Oregon State Bar shall not practice law after the effective date of the resignation. This rule shall not preclude an attorney or LP who has resigned from providing information on the facts of a case and its status to a succeeding attorney or LP, and such information shall be provided on request.

(b) Responsibilities. It shall be the duty of an attorney or LP who has resigned to immediately take all reasonable steps to avoid foreseeable prejudice to any client and to comply with all applicable laws and disciplinary rules.

(c) Notice. When, as a result of an attorney's or LP's resignation, an active client matter will be left for which no other active member of the Bar, with the consent of the client, has agreed to resume responsibility, the resigned attorney or LP shall give written notice of the cessation of practice to the affected clients, opposing parties, courts, agencies, and any other person or entity having reason to be informed of the cessation of practice. Such notice shall be given no later than fourteen (14) days after the effective date of the resignation. Client property pertaining to any active client matter shall be delivered to the client or an active member of the Bar designated by the client as substitute counsel no later than 21 days after the effective date of the resignation.

(d) Contempt. Disciplinary Counsel may petition the Supreme Court to hold an attorney or LP who has resigned in contempt for failing to comply with the provisions of BR 9.3(a), (b), or (c). The court may order the attorney or LP to appear and show cause, if any, why the attorney or LP should not be held in contempt of court and sanctioned accordingly.

(Rule 9.3 amended by Order dated March 13, 1989, effective April 1, 1989.)

(Former Rule 9.3(c) redesignated as Rule 9.3(d); Rule 9.3(c) added; and Rule 9.3(d) amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 9.3(d) amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 9.3 amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 9.3(c) amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 9.4 Effect of Form B Resignation.

An attorney or LP who has resigned membership in the Bar under Form B of these rules after December 31, 1995, shall never be eligible to apply for reinstatement under Title 8 of these rules and shall not be considered for admission under OR 9.220 or on any basis under the Rules for Admission of Attorneys.

(Rule 9.4 added by Order dated December 14, 1995.)

(Rule 9.4 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 9.4 amended by Order dated August 17, 2022, effective July 1, 2023.)

Rule 9.5 Effect of Form A Resignation after November 30, 2019.

An attorney or LP who has resigned membership in the Bar under Form A of these rules after November 30, 2019, shall never be eligible to apply for reinstatement under Title 8 of these rules, but may be considered for admission under ORS 9.220 or any basis under the Rules for Admission of Attorneys or Rules for Admission of Licensed Paralegals.

(Rule 9.5 repealed by Order dated January 17, 2008.)

(Rule 9.5 added by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 9.5 amended by Order dated August 17, 2022, effective July 1, 2023.)

Title 10 — Review By Supreme Court

Rule 10.1 Disciplinary Proceedings.

Upon the conclusion of a disciplinary hearing, the Adjudicator, pursuant to BR 1.8, shall file the trial panel's written opinion with the Disciplinary Board Clerk, and the Disciplinary Board Clerk shall send copies to Disciplinary Counsel, Bar Counsel, and the respondent. The Bar or the respondent may seek review of the matter by the Supreme Court; otherwise, the decision of the trial panel shall be final on the 31st day following the notice of receipt of the trial panel opinion by the Disciplinary Board Clerk.

(Rule 10.1 amended by Order dated July 8, 1988.)

(Rule 10.1 amended by Order dated August 2, 1991.)

(Rule 10.1 amended by Order dated August 19, 1997, effective October 4, 1997.)

(Rule 10.1 amended by Order dated February 5, 2001.)

(Rule 10.1 amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 10.1 amended by Order dated June 17, 2003, effective January 1, 2004.)

(Rule 10.1 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 10.1 amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 10.1 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 10.2 Request for Review.

Within 30 days after the Disciplinary Board Clerk has acknowledged, ~~as required by BR 2.4(h)(4),~~ receipt of a trial panel opinion, the Bar or the respondent may file with the Disciplinary Board Clerk and the State Court Administrator a request for review as set forth in BR 13.8. A copy of the request for review shall be served on the opposing party.

(Rule 10.2 amended by Order dated July 22, 1991.)

(Rule 10.2 amended by Order dated February 5, 2001.)

(Rule 10.2 amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 10.2 amended by Order dated October 19, 2009.)

(Rule 10.2 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 10.2 amended by Order dated May 22, 2019, effective September 1, 2019.)

Rule 10.3 Contested Reinstatement Proceeding.

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Upon the conclusion of a contested reinstatement hearing, the trial panel shall file its written opinion with the Disciplinary Board Clerk and the State Court Administrator, and serve copies on Disciplinary Counsel and the applicant. Each such reinstatement matter shall be reviewed by the Supreme Court.

(Rule 10.3 amended by Order dated July 8, 1988.)

(Rule 10.3 amended by Order dated August 19, 1997, effective October 4, 1997.)

(Rule 10.3 amended by Order dated February 5, 2001.)

(Rule 10.3 corrected by Order dated June 28, 2001.)

(Rule 10.3 amended by Order dated June 17, 2003, effective July 1, 2003.)

(Rule 10.3 amended by Order dated June 17, 2003, effective January 1, 2004.)

(Rule 10.3 amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 10.4 Filing In Supreme Court.

(a) Record. Disciplinary Counsel shall file the record of a proceeding with the State Court Administrator upon the receipt by Disciplinary Counsel of:

- (1) a request for review timely filed pursuant to BR 10.2; or
- (2) a trial panel opinion in any contested reinstatement proceeding.

The record shall include a copy of the trial panel's opinion. Upon receipt of the record, the matter shall be reviewed by the court as provided in BR 10.5.

(Rule 10.4(a)(i) amended by Order dated July 22, 1991.)

(Rule 10.4 amended by Order dated June 29, 1993.)

(Rule 10.4(a)(ii) and (b) amended by Order dated August 19, 1997, effective October 4, 1997.)

(Rule 10.4 amended by Order dated June 17, 2003, effective January 1, 2004.)

(Former Rule 10.4(a)(i) and 10.4(a)(ii) redesignated as Rule 10.4(a)(1) and 10.4(a)(2); Rule 10.4(a), 10.4(a)(1), and 10.4(a)(2) amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 10.5 Procedure In Supreme Court.

(a) Briefs. No later than 28 days after the Supreme Court's written notice to Disciplinary Counsel and the respondent or applicant of receipt of the record, the party who requested review or the applicant, as the case may be, must file an opening brief. The brief must include a request for relief asking the court to adopt, modify, or reject, in whole or in part, the decision of the trial panel. Otherwise, the format of the opening brief and the timing and format of any answering or reply briefs shall be governed by the applicable Oregon Rules of Appellate Procedure. The failure of the Bar or a respondent or applicant to file a brief does not prevent the opposing litigant from filing a brief. Answering briefs are not limited to issues addressed in petitions or opening briefs, and may urge the adoption, modification, or rejection in whole or in part of any decision of the trial panel.

(b) Oral Argument. The Oregon Rules of Appellate Procedure relating to oral argument apply in disciplinary and contested reinstatement proceedings.

(Rule 10.5(b) and (c) amended by Order dated July 22, 1991.)

(Rule 10.5(b), 10.5(c), and 10.5(d) amended by Order dated October 19, 2009.)

(Former Rule 10.5(a) and 10.5(b) deleted; former Rule 10.5(c) and 10.5(d) redesignated as Rule 10.5(a) and 10.5(b); Rule 10.5(a) and 10.5(b) amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 10.6 Nature Of Review.

The Supreme Court shall consider each matter de novo upon the record and may adopt, modify, or reject the decision of the trial panel in whole or in part and thereupon enter an appropriate order. In admission or reinstatement proceedings, the Supreme Court may require an applicant whose admission or reinstatement has been denied to wait a period of time designated by the court before reapplying for admission or reinstatement.

(Rule 10.6 amended by Order dated July 22, 1991.)
(Rule 10.6 amended by Order dated October 19, 2009.)
(Rule 10.6 amended by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 10.6 amended by Order dated August 17, 2022, effective July 1, 2023.)
(Rule 10.6 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 10.7 Costs and Disbursements.

(a) Costs and Disbursements. “Costs and disbursements” are actual and necessary (1) service, filing and witness fees; (2) expenses of reproducing any document used as evidence at a hearing, including perpetuation depositions or other depositions admitted into evidence; (3) expenses of the hearing transcript, including the cost of a copy of the transcript if a copy has been provided by the Bar to a respondent or an applicant without charge; and (4) the expense of preparation of an appellate brief in accordance with ORAP 13.05. Lawyer fees are not recoverable costs and disbursements, either at the hearing or on review. Prevailing party fees are not recoverable by any party.

(b) Allowance of Costs and Disbursements. In any discipline or contested reinstatement proceeding, costs and disbursements as permitted in BR 10.7(a) may be allowed to the prevailing party by the Disciplinary Board or the Supreme Court. A respondent or applicant prevails when the charges against the respondent are dismissed in their entirety or the applicant is unconditionally reinstated to the practice of law in Oregon. The Bar shall be considered to have prevailed in all other cases.

(c) Recovery After Offer of Settlement. A respondent may, at any time up to fourteen (14) days prior to hearing, serve upon Disciplinary Counsel an offer to enter into a stipulation for discipline or no contest plea under BR 3.6. In the event the SPRB rejects such an offer, and the matter proceeds to hearing and results in a final decision of the Disciplinary Board or the court imposing a sanction no greater than that to which the respondent was willing to plead no contest or stipulate based on the charges the respondent was willing to concede or admit, the Bar shall not recover, and the respondent shall recover, actual and necessary costs and disbursements as permitted in BR 10.7(a) incurred after the date the SPRB rejected the respondent’s offer.

(d) Procedure for Recovery and Collection. The procedure set forth in the Oregon Rules of Appellate Procedure regarding the filing of cost bills and objections thereto shall apply, except that, in matters involving final decisions of the Disciplinary Board, cost bills and objections thereto shall be resolved by the Adjudicator. The cost bill and objections thereto shall be filed with the Disciplinary Board Clerk, with proof of service on the other party, and shall not be due until 21 days after the date a trial panel’s decision is deemed final under BR 10.1. The procedure for entry of judgments for costs and disbursements as judgment liens shall be as provided in ORS 9.536.

(Rule 10.7 amended by Order dated June 25, 1985, effective July 15, 1985; amended by further Orders dated July 8, 1985 and July 22, 1985; amended by Order dated March 13, 1989, effective April 1, 1989. Rule 10.7 (a) amended by Order dated October 1, 1990; amended by Order dated June 28, 2001.)
(Rule 10.7(d) amended by Order dated June 17, 2003, effective July 1, 2003.)
(Rule 10.7(a) and (d) amended by Order dated April 26, 2007.)
(Rule 10.7(b) amended by Order dated October 19, 2009.)
(Rule 10.7(a), 10.7(b), 10.7(c), and 10.7(d) amended by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 10.7(b) amended by Order dated December 26, 2023, effective January 1, 2024.)

Title 11 — Time Requirements

Rule 11.1 Failure to Meet Time Requirements.

The failure of any person or body to meet any time limitation or requirement in these rules shall not be grounds for the dismissal of any charge or objection, unless a showing is made that the delay substantially prejudiced the ability of the respondent or applicant to receive a fair hearing.

(Rule 11.1 amended by Order dated May 3, 2017, effective January 1, 2018.)

Title 12 — Unlawful Practice of Law Committee

Rule 12.1 Appointment.

The Supreme Court may appoint as many members as it deems necessary to carry out the Unlawful Practice of Law Committee's functions. At least two members of the Unlawful Practice of Law Committee must be members of the general public, and no more than one-quarter of the Unlawful Practice of Law Committee members may be lawyers engaged in the private practice of law.

Rule 12.2 Investigative Authority.

Pursuant to ORS 9.164, the Unlawful Practice of Law Committee shall investigate on behalf of the Bar complaints of the unlawful practice of law. For purposes of this rule, "unlawful practice of law" means (1) the practice of law in Oregon, as defined by the Supreme Court, by a person who is not an active member of the Bar and is not otherwise authorized by law to practice law in Oregon; or (2) holding oneself out, in any manner, as authorized to practice law in Oregon when not authorized to practice law in Oregon.

Rule 12.3 Public Outreach and Education.

(a) The Unlawful Practice of Law Committee may engage in public outreach to educate the public about the potential harm caused by the unlawful practice of law. The Unlawful Practice of Law Committee may cooperate in its education efforts with federal, state, and local agencies tasked with preventing consumer fraud.

(b) The Unlawful Practice of Law Committee may write informal opinions on questions relating to what activities may constitute the practice of law. Opinions must be approved by the Board before publication. The published opinions are not binding, but are intended only to provide general guidance to lawyers and members of the public about activities that Supreme Court precedent and Oregon law indicate may constitute the unlawful practice of law.

Rule 12.4 Enforcement.

The Bar may petition the Supreme Court to hold a disbarred attorney or LP or an attorney or LP whose resignation pursuant to BR 9.1 has been accepted by the court in contempt for engaging in the unlawful practice of law. The court may order the disbarred or resigned attorney or LP to appear and show cause, if any, why the disbarred or resigned attorney or LP should not be held in contempt of court and sanctioned accordingly.

(Former Title 12 redesignated as Title 13; Title 12, Rule 12.1, 12.2, 12.3, and 12.4 added by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 12.4 amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 12.4 amended by Order dated August 17, 2022, effective July 1, 2023.)

Title 13 — Forms

Rule 13.1 Formal Complaint.

A formal complaint in a disciplinary proceeding shall be in substantially the following form:

**IN THE SUPREME COURT
OF THE STATE OF OREGON**

In Re:)	No. _____	
_____)		
Complaint as to the conduct of)	FORMAL	
_____, Respondent)	COMPLAINT	

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For its first cause of complaint, the Oregon State Bar alleges:

1.

The Oregon State Bar was created and exists by virtue of the laws of the State of Oregon and is, and at all times mentioned herein was, authorized to carry out the provisions of ORS Chapter 9, relating to discipline of attorneys or licensed paralegals..

2.

The Respondent, _____, is, and at all times mentioned herein was, an attorney at law or a Licensed Paralegal, duly admitted by the Supreme Court of the State of Oregon to practice law in Oregon and a member of the Oregon State Bar, having his [her] office and place of business in the County of _____, State of _____.

3. et seq.

(State with certainty and particularity the actions of the Respondent alleged to be in violation of the disciplinary rules or statutes, including time, place and transaction, if necessary.)

4. (or next number)

The aforesaid conduct of the Respondent violated the following standard[s] of professional conduct established by law and by the Oregon State Bar: (insert applicable disciplinary rules and statutes).

AND, for its second cause of complaint against said Respondent, the Oregon State Bar alleges:

5. (or next number)

Incorporates by reference as fully set forth herein Paragraphs _____, _____, _____, and _____ of its first cause of complaint.

6. (or next number)

(State with certainty and particularity the actions of the Respondent alleged to be in violation of the disciplinary rules or statutes, including time, place and transaction, if necessary.)

7. (or next number)

The aforesaid conduct of the Respondent violated the following standard[s] of professional conduct established by law and by the Oregon State Bar: (insert applicable disciplinary rules and statutes).

AND, for its third cause of complaint against said Respondent, the Oregon State Bar alleges:

8. (or next number)

Incorporates by reference as fully set forth herein Paragraphs _____, _____, _____, _____, and _____ of its first cause of complaint and Paragraphs _____, _____, _____, and _____ of its second cause of complaint.

9. (or next number)

(State with certainty and particularity the actions of the Respondent alleged to be in violation of the disciplinary rules or statutes, including time, place and transaction, if necessary.)

10. (or next number)

The aforesaid conduct of the Respondent violated the following standard[s] of professional conduct established by law and by the Oregon State Bar: (insert applicable disciplinary rules and statutes).

WHEREFORE, the Oregon State Bar demands that the Respondent make answer to this complaint; that a hearing be set concerning the charges made herein; that the matters alleged herein be fully, properly and

legally determined; and pursuant thereto, such action be taken as may be just and proper under the circumstances.

DATED this ____ day of ____, 20__.

OREGON STATE BAR
By:
Disciplinary Counsel

(Rule 12.1 amended by Order dated February 5, 2001.)

(Former Rule 12.1 redesignated as Rule 13.1; Rule 13.1 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 13.1 amended by Order dated August 17, 2022, effective July 1, 2023.)

(Rule 13.1 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 13.2 Notice to Answer.

A copy of the formal complaint (statement of objections), accompanied by a notice to answer it within a designated time, shall be served on the respondent (applicant). Such notice shall be in substantially the following form:

(Heading as in complaint/statement of objections)

NOTICE TO ANSWER

You are hereby notified that a formal complaint against you (statement of objections to your reinstatement) has been filed by the Oregon State Bar, a copy of which formal complaint (statement of objections) is attached hereto and served upon you herewith. You are further notified that you may file with the Disciplinary Board Clerk, with a service copy to Disciplinary Counsel, your verified answer within fourteen (14) days from the date of service of this notice upon you. In case of your default in so answering, the formal complaint (statement of objections) shall be heard and such further proceedings had as the law and the facts shall warrant.

(The following paragraph shall be used in a disciplinary proceeding only:)

You are further notified that an attorney or LP accused of misconduct may, in lieu of filing an answer, elect to file with Disciplinary Counsel of the Oregon State Bar, a written resignation from membership in the Oregon State Bar. Such a resignation must comply with BR 9.1 and be in the form set forth in BR 12.7. You should consult an attorney of your choice for further information about resignation.

The address of the Oregon State Bar is 16037 S.W. Upper Boones Ferry Road, Tigard, Oregon 97224, or by mail at P. O. Box 231935, Tigard, Oregon 97281-1935.

DATED this ____ day of ____, 20__.

OREGON STATE BAR
By:
Disciplinary Counsel

(Rule 12.2 amended by Order dated February 5, 2001.)

(Rule 12.2 amended by Order dated April 26, 2007.)

(Rule 12.2 amended by Order dated March 20, 2008.)

(Rule 12.2 amended by Order dated October 19, 2009.)

(Former Rule 12.2 redesignated as Rule 13.2; Rule 13.2 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 13.2 amended by Order dated August 17, 2022, effective July 1, 2023.)

Rule 13.3 Answer.

The answer of the respondent (applicant) shall be in substantially the following form:

(Heading as in complaint/statement of objections)

ANSWER

_____, (name of respondent (applicant)), whose residence address is _____, in the County of _____, State of Oregon, and who maintains his [her] principal office for the practice of law or other business at _____, in the County of _____, State of Oregon, answers the formal complaint (statement of objections) in the above-entitled matter as follows:

1.

Admits the following matters charged in the formal complaint (statement of objections) as follows:

2.

Denies the following matters charged in the formal complaint (statement of objections) as follows:

3.

Explains or justifies the following matters charged in the formal complaint (statement of objections).

4.

Sets forth new matter and other defenses not previously stated, as follows:

5.

WHEREFORE, the accused (applicant) prays that the formal complaint (statement of objections) be dismissed.

DATED this ___ day of ___, 20__.

RESPONDENT (APPLICANT)
Attorney for Respondent (Applicant)

I hereby declare that the above statement is true to the best of my knowledge and belief, and that I understand it is made for use as evidence in the trial panel hearing and is subject to penalty for perjury.

RESPONDENT (APPLICANT)

(Former Rule 12.3 redesignated as Rule 13.3; Rule 13.3 amended by Order dated May 3, 2017, effective January 1, 2018.)

Rule 13.4 [Reserved for expansion]

(Rule 12.4 repealed by Order dated July 22, 1991.)

(Former Rule 12.4 redesignated as Rule 13.4 by Order dated May 3, 2017, effective January 1, 2018.)

Rule 13.5 Statement of Objections To Reinstatement.

In a contested reinstatement proceeding, the statement of objections shall be in substantially the following form:

**IN THE SUPREME COURT
OF THE STATE OF OREGON**

In The Matter Of The)	
Application of)	STATEMENT
_____)	OF
For Reinstatement as)	OBJECTIONS
an Active Member)	TO
of the Oregon State Bar)	REINSTATEMENT

The Oregon State Bar objects to the qualifications of the Applicant for reinstatement on the ground and for the reason that the Applicant has not shown, to the satisfaction of the Board of Governors, that he [she] has the good moral character or general fitness required for readmission to practice law in Oregon, that his [her] readmission to practice law in Oregon will be neither detrimental to the integrity and standing of the Bar or the administration of justice, nor subversive to the public interest, or that he [she] is, in all respects, able and qualified, by good moral character and otherwise, to accept the obligations and faithfully perform the duties of an attorney in Oregon, in one or more of the following particulars:

1.

The Applicant does not possess good moral character or general fitness to practice law, in that the Applicant, _____(state the facts of the matter)

2.

(Same)

3.

(Same)

WHEREFORE, the Oregon State Bar requests that the recommendation of the Board of Governors to the Supreme Court of the State of Oregon in this matter be approved and adopted by the Court and that the application of the Applicant for reinstatement as an active member of the Oregon State Bar be denied.

DATED this ___day of ___, 20__.

OREGON STATE BAR
 By:
 Disciplinary Counsel

(Rule 12.5 amended by Order dated February 5, 2001.)
(Rule 12.5 amended by Order dated October 19, 2009.)
(Former Rule 12.5 redesignated as Rule 13.5 by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 13.5 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 13.6 Form A Resignation.

**IN THE SUPREME COURT
OF THE STATE OF OREGON**

In Re:)	FORM A
(Name))	RESIGNATION

I, _____, declare that my residence address is _____(No. and Street), _____(City), _____(State), _____(Zip Code), and that I hereby tender my resignation from membership in the Oregon State Bar and respectfully request and consent to my removal from the roster of those admitted to practice before

the courts of this state and from membership in the Oregon State Bar.

I hereby certify that I am not charged in any jurisdiction with an offense that is a misdemeanor that may involve moral turpitude, a felony under the laws of this state, or a crime punishable by death or imprisonment under the laws of the United States.

I hereby certify that all client files and client records in my possession pertaining to active or current clients have been or will be placed promptly in the custody of _____, a resident Oregon attorney, whose principal office address is _____, who has agreed to serve as custodian to take possession of the files and take such further action as necessary to protect the interests of the clients, and that all such clients have been or will be promptly notified accordingly, and that the following arrangements have been made with regard to client files and records pertaining to inactive or former clients, if any:

OR

I hereby certify that all client files and client records pertaining to active or current clients have been or will be placed promptly in the custody of the Professional Liability Fund, which has agreed to take possession of the files and take such further action as necessary to protect the interests of the clients, and that such clients have been or will be promptly notified accordingly, and that the following arrangements have been made with regard to client files and records pertaining to inactive or former clients, if any:

OR

I hereby certify that I have no client files or client records pertaining to active or current clients and that the following arrangements have been made with regard to client files and records pertaining to inactive or former clients, if any:

I agree to perform the duties of a resigned attorney set forth in BR 9.3 and that I may be held in contempt of court if I do not.

DATED at __, this ___ day of __, 20__.

I HEREBY DECLARE THAT THE ABOVE STATEMENT IS TRUE TO THE BEST OF MY KNOWLEDGE AND BELIEF, AND THAT I UNDERSTAND IT IS MADE FOR USE AS EVIDENCE IN COURT AND IS SUBJECT TO PENALTY FOR PERJURY.

(Signature of Member)

I, _____, Chief Executive Officer of the Oregon State Bar, do hereby certify that there are no inquiries or grievances involving the above-name attorney under investigation by the Bar, no disciplinary proceedings are pending against the attorney, and the attorney is not suspended, disbarred, or on probation pursuant to BR 6.1 and BR 6.2.

DATED this _____ day of _____, 20__.

OREGON STATE BAR

By: _____
Chief Executive Officer

*(Former Rule 12.6 redesignated as Rule 13.6; Rule 13.6 amended by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 13.6 amended by Order dated May 22, 2019, effective September 1, 2019.)
(Rule 13.6 amended by Order dated December 26, 2023, effective January 1, 2024.)*

Rule 13.7 Form B Resignation.**IN THE SUPREME COURT
OF THE STATE OF OREGON**

In Re:) FORM B
(Name)) RESIGNATION

State of)
County of) ss

I, _____, being duly sworn on oath, depose and say that my principal office for the practice of law or other business is located at _____ (Building No. and Name, if any, or Box No.), _____ (Street address, if any), _____ (City), _____ (State), _____ (Zip Code); that my residence address is _____ (No. and Street), _____ (City), _____ (State), _____ (Zip Code), and that I hereby tender my resignation from membership in the Oregon State Bar and request and consent to my removal from the roster of those admitted to practice before the courts of this state and from membership in the Oregon State Bar.

I am aware that there is pending against me a formal complaint concerning alleged misconduct and/or that complaints, allegations or instances of alleged misconduct by me are under investigation by the Oregon State Bar and that such complaints, allegations and/or instances include:

(List of formal complaints, proceedings or investigations pending.)

I do not desire to contest or defend against the above-described complaints, allegations or instances of alleged misconduct. I am aware of the rules of the Supreme Court and of the bylaws and rules of procedure of the Oregon State Bar with respect to admission, discipline, resignation and reinstatement of members of the Oregon State Bar. I understand that any future application by me for reinstatement as a member of the Oregon State Bar is currently barred by BR 9.4, but that should such an application ever be permitted in the future, it will be treated as an application by one who has been disbarred for misconduct, and that, on such application, I shall not be entitled to a reconsideration or reexamination of the facts, complaints, allegations or instances of alleged misconduct upon which this resignation is predicated. I understand that, on its filing in this court, this resignation and any supporting documents, including those containing the complaints, allegations or instances of alleged misconduct, will become public records of this court, open for inspection by anyone requesting to see them.

This resignation is freely and voluntarily made; and I am not being, and have not been, subjected to coercion or duress. I am fully aware of all the foregoing and any other implications of my resignation.

I hereby certify that all client files and client records in my possession pertaining to active or current clients have been or will be placed promptly in the custody of _____, a resident Oregon attorney, whose principal office address is _____, who has agreed to serve as custodian to take possession of the files and take such further action as necessary to protect the interests of the clients, and that all such clients have been or will be promptly notified accordingly, and that the following arrangements have been made with regard to client files and records pertaining to inactive or former clients, if any:

OR

I hereby certify that all client files and client records pertaining to active or current clients have been or will be placed promptly in the custody of the Professional Liability Fund, which has agreed to take possession of the files and take such further action as necessary to protect the interests of the clients, and that such clients have

been or will be promptly notified accordingly, and that the following arrangements have been made with regard to client files and records pertaining to inactive or former clients, if any:

OR

I hereby certify that I have no client files or client records pertaining to active or current clients and that the following arrangements have been made with regard to client files and records pertaining to inactive or former clients, if any:

I agree to perform the duties of a resigned attorney set forth in BR 9.3 and that I may be held in contempt of court if I do not.

DATED at __, this ___ day of __, 20__.

(Signature of Attorney)

Subscribed and sworn to before me this ___ day of __, 20__.

Notary Public for Oregon
My Commission Expires:

(Rule 12.7 amended by Order dated June 5, 1997, effective July 1, 1997).
(Rule 12.7 amended by Order dated February 5, 2001.)
(Former Rule 12.7 redesignated as Rule 13.7 by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 13.7 amended by Order dated May 22, 2019, effective September 1, 2019.)
(Rule 13.7 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 13.8 Request for Review.

A request for review pursuant to BR 10.3 shall be in substantially the following form.

**IN THE SUPREME COURT
OF THE STATE OF OREGON**

In Re:)
)
) No. _____
[Complaint as to the)
Conduct of/Application for)
Admission as a Licensed)
Paralegal:])
)
) REQUEST FOR
[Respondent/Applicant]) REVIEW

[The Respondent/The Oregon State Bar] hereby requests the Supreme Court to review the decision of the [Disciplinary Board trial panel/hearing panel] rendered on [date] in the above matter.

DATED this ___ day of __, 20__.

[signature of respondent or counsel]

(Former Rule 12.8 redesignated as Rule 13.8; Rule 13.8 amended by Order dated May 3, 2017, effective January 1, 2018.)
(Rule 13.8 amended by Order dated August 17, 2022, effective July 1, 2023.)

Rule 13.9 Compliance Declaration.

Current versions of this document are maintained on the OSB website: www.osbar.org

A compliance declaration filed under BR 8.3 shall be in substantially the following form:

COMPLIANCE DECLARATION

In re: Application of

(Name of attorney)

(Bar number)

For reinstatement as an active/inactive (circle one) member of the OSB.

1. Full name _____ Date of Birth _____

2. Residence address _____ Telephone _____

3. I hereby attest that during my period of suspension from the practice of law from _____ to _____, (insert dates) I did not at any time engage in the practice of law except where authorized to do so.

4. I also hereby attest that I complied as directed with the following terms of probation: (circle applicable items)

a. abstinence from consumption of alcohol and mind-altering chemicals/drugs, except as prescribed by a physician

b. attendance at Alcoholics Anonymous meetings

c. cooperation with Chemical Dependency Program

d. cooperation with State Lawyers Assistance Committee

e. psychiatric/psychological counseling

f. passed Multi-State Professional Responsibility exam

g. attended law office management counseling and/or programs

h. other - (please specify) _____

i. none required

I HEREBY DECLARE THAT THE ABOVE STATEMENT IS TRUE TO THE BEST OF MY KNOWLEDGE AND BELIEF, AND THAT I UNDERSTAND IT IS MADE FOR USE AS EVIDENCE IN COURT AND IS SUBJECT TO PENALTY FOR PERJURY.

(Name)

(Rule 12.9 established by Order dated March 13, 1989, effective April 1, 1989.)

(Rule 12.9 amended by Order dated February 5, 2001.)

(Former Rule 12.9 redesignated as Rule 13.9; Rule 13.9 amended by Order dated May 3, 2017, effective January 1, 2018.)

(Rule 13.9 amended by Order dated May 22, 2019, effective September 1, 2019.)

(Rule 13.9 amended by Order dated December 26, 2023, effective January 1, 2024.)

Rule 13.10 Compliance Declaration.

A compliance declaration filed under BR 7.1(g) shall be in substantially the following form:

COMPLIANCE DECLARATION

In re: Reinstatement of

(Name of attorney)

(Bar number)

For reinstatement as an active/inactive (circle one) member of the OSB.

1. Full name _____ Date of Birth _____

2. Residence address _____ Telephone _____

3. I hereby attest that during my period of suspension from the practice of law from _____ to _____, (insert dates)

 I did not at any time engage in the practice of law except where authorized to do so

OR

 I engaged in the practice of law under the circumstances described on the attached [attach an explanation of activities relating to the practice of law during suspension].

4. I also hereby attest that I responded to the requests for information or records by Disciplinary Counsel and have complied with any subpoenas issued by Disciplinary Counsel, or provided good cause for not complying to the request.

I HEREBY DECLARE THAT THE ABOVE STATEMENT IS TRUE TO THE BEST OF MY KNOWLEDGE AND BELIEF, AND THAT I UNDERSTAND IT IS MADE FOR USE AS EVIDENCE IN COURT AND IS SUBJECT TO PENALTY FOR PERJURY.

(Name)

*(Rule 12.10 established by Order dated August 12, 2013, effective November 1, 2013.)**(Former Rule 12.10 redesignated as Rule 13.10; Rule 13.10 amended by Order dated May 3, 2017, effective January 1, 2018.)**(Rule 13.10 amended by Order dated May 22, 2019, effective September 1, 2019.)**(Rule 13.10 amended by Order dated December 26, 2023, effective January 1, 2024.)*

OREGON STATE BAR

Policy and Governance Committee Agenda

Meeting Date: July 26, 2024
From: Dani Huck, Associate General Counsel; Ankur Doshi, General Counsel
Re: Changes to Reimbursement Bylaws and Policies

Action Recommended

Recommend the Board approve changes to the Oregon State Bar Bylaws and Policies to streamline the Bar's expense reimbursement rules. Recommend the approval of the change to the Standard Section Bylaw pending circulation to the Executive Boards of the Sections.

Background

Currently, the Bylaws and Policies cover reimbursement and expenses in multiple locations due to the structure of the Bylaws. Of note, most expense related issues are within Bylaw 2.24 (though Bylaw 2.16 also appears to deal with expenses), which resides within Section 2 dealing with the Board of Governors. However, the Board of Governors is not the only bar group that the bar covers expenses. Additional groups, including the SPRB, the DB, and the ONLD are also authorized by the Board to have their expenses covered. Including these additional groups have led to the bylaws containing several cross-references to Bylaw 2.24. A review of the Bar's many policies, procedures, and rules revealed provisions related to expense reimbursement were spread across various sections and chapters. These scattered, and often outdated, provisions made it difficult to understand and comply with the reimbursement process.

Options

1. Recommend the Board approve the changes to both the OSB Bylaws and the OSB Policies.
2. Refer back to staff for further review.

Discussion

A. Proposed Changes to the OSB Bylaws

Staff proposes moving most of the expense rules and policies to a new Article, Article 4. Changing Article 4 to a General Administration article may prove useful in the future as well. Further review, edits, and additions to the bylaws that apply to all programs or groups at a bar are better suited for a general administration Article that applies to the entire organization rather than one particular program, committee, or group.

Currently, the OSB Bylaws contain several references to expense reimbursement:

1. OSB Bylaws Section 2.10(c) states that expenses of the Immediate Past President will be reimbursed as approved by the Board.
2. OSB Bylaws Section 2.16 states that all provisions of Section 2.24 of the Bar's Bylaws (Expense Reimbursement) apply to the Board of Governors, even though Section 2.24 is also under Article 2 and therefore clearly applies to the BOG.
3. OSB Bylaws Section 2.24 provides the fundamental rule that expenses can be reimbursed if eligible individuals are acting in their official capacities. It also provides some detail about who this provision applies to and what benefits an eligible person is entitled to retain.
4. OSB Bylaws Section 16.1(b) provides that all members of the SPRB will receive the same reimbursement of expenses as is accorded the members of the Board of Governors.

There are a few notable problems with the current reimbursement rules in the OSB Bylaws. First, the fundamental bylaw authorizing reimbursement of expenses for all programs of the bar – OSB Bylaw Section 2.24 – lies in Article 2 Board of Governors. Someone searching for the rules on reimbursement might assume that section applies only to expenses incurred by members of the Board of Governors. For example, a member of the House of Delegates would not know that she may be eligible for reimbursement, as neither Article 3 House of Delegates nor Article 2 Board of Governors mentions reimbursement for HOD members. In addition to members of the House of Delegates, the rule itself leaves out OSB Delegates to the ABA, and other volunteers who may be eligible for reimbursement under the rule. Section 2.24 also lists OSB Employees as eligible for reimbursement, but employee reimbursement should be a separate policy handled through OSB Human Resources and Accounting.

OSB Bylaws Article 4 – Awards contains one paragraph about awards the Board may present each year. Staff proposes changing Article 4 – Awards to Article 4 – General Administration. The awards paragraph would become a separate Bylaw, Bylaw 4.2, within Article 4, as would the expense reimbursement rules. The reason for utilizing this Article is to avoid burying General Administration Rules at the bottom of the Bylaws. Logically, a reader would expect to see General Administration Rules prior to specific program rules within a set of rules. Since Article 4 is not frequently used, it made sense to utilize Article 4 for general rules of the Bar.

The proposed new version of Article 4 is attached to this memorandum as Exhibit 1, with a clean copy at Exhibit 2.

Proposed Bylaw 4.1 Expense Reimbursement under Article 4 would incorporate many of the reimbursement provisions scattered throughout the Bylaws. Therefore, GCO also recommends making edits to the affected Bylaws as represented in “OSB Reimbursement Bylaws Redline,” also attached to this memo.

Proposed Bylaw 4.1(a) would include the current language under Bylaw 2.24(a), which encompasses the groups that are eligible for reimbursement. It also moves part of Bylaw 2.10(c) (Immediate Past President eligible for reimbursement); Bylaws 2.16 (BOG eligible for reimbursement); and 16.1(b) (SPRB eligible for reimbursement) into Bylaw 4.1. Cross-references to Bylaw 4.1 are left in Bylaws 2.16 and 16.1 for readers.

Proposed Bylaw 4.1(b) highlights that expenses of spouses or guests are not reimbursed except as provided within the policies and approved by the BOG. This is the same as the last sentence in current Bylaw 2.24(a).

Proposed Bylaw 4.1(c) retains the language of Bylaw 2.24(b) without change. While the application language is outdated, it should remain as it specifically notes that the bylaw was adopted without a conflict of interest.

Proposed Bylaw 4.1(d) takes language from current BOG Policy 2.2400(b)(5) indicating that bar funds are never to be utilized to pay for alcoholic beverages. Considering that this rule is a prohibition on bar funds not subject to exception, staff recommends moving this provision to a Bylaw to highlight its importance for all bar groups.

Bylaw 2.24 would be deleted, and marked as reserved for future expansion.

B. Proposed Changes to the OSB Policies

Congruent to the proposed OSB Bylaws changes, the corresponding OSB Policies must be changed as well. Similar to the OSB Bylaws, the OSB Policies also contain scattered reimbursement provisions:

1. OSB Policy 2.1600 Expenses contains three short sections on expenses for BOG Members and the CEO. It also covers hotel rooms, hosted dinners, out-of-state conferences, and gifts for retiring members.
2. OSB Policy 2.2400 Expense Reimbursement covers much of what is already stated in Policy 2.16, but further details what items are eligible for reimbursement, as well as what is expected by the Accounting Department.
3. OSB Policy 3.200 Delegates section outlines separate reimbursable expenses for elected HOD members, but refers public member delegates to Bylaw 2.24.
4. OSB Policy 5.100(b) outlines specific rules for OSB Delegates to the ABA.
5. OSB Policy 15.100(j) CLE Seminars states that CLE seminar speakers and planners are eligible for reimbursement for necessary travel expenses subject to the Bar's travel reimbursement policies.

Staff recommends approving a similar treatment to the OSB Policies, wherein Chapter 4 becomes a General Administration chapter and encompasses both expense reimbursement and awards. The proposed new version of Chapter 4 is attached to this memo as "OSB Policies Chapter

4 Proposed Changes Clean Copy.” Proposed Policy 4.100 Expense Reimbursement under Chapter 4 would incorporate many of the reimbursement provisions scattered throughout the Policies.

The following new policies are proposed.

1. Policy 4.100 – General statement noting that the Board authorizes the expenses and reimbursement in these Policies.
2. Policy 4.101 – Eligible Parties. This Policy captures those volunteers eligible for reimbursement. It reflects from prior policies who is eligible for reimbursement.
3. Policy 4.102 – Employee Expenses. This Policy notes that OSB employee expenses are governed by the employment policies and procedures in the OSB Employee Handbook. As the OSB Bylaws and Policies are not the appropriate place for employee policies, staff recommends removing OSB employees from these rules. The only exception is the CEO, who is a direct employee of the Board.
4. Policy 4.103 – Eligible Expenses. This Policy takes much of the Policy 2.2400 verbatim, which some changes to better reflect current practice. Specific changes include the change in language from business class to upgrade in plane seating to better reflect current trends towards multiple types of seating within airlines.
 - a) A change to meals without receipts (Policy 4.103(a)(4)) adds that meals may be reimbursed without a receipt provided the cost of the meal is reasonable, or the meal may be reimbursed at the GSA federal government travel rate.
 - b) Dinners was separated from meals, but retains generally the same language.
 - c) A new provision (Policy 4.103(a)(7)) specifically notes that entertainment or recreation activities are not reimbursable unless it meets the guidelines of a reimbursable entertainment or recreational activity under Government Ethics Law and has been previously approved by the Board.
5. Policy 4.104 relates specifically to Board expenses. It includes the Policies under 2.1600. Additional clarifications were made under proposed Policy 4.104(c) to note that the President or the President elect may attend the ABA Bar Leadership Conference. A new provision, subsection (b) notes dinners that spouses and guests are expected to attend, for which the Bar may pay or provide reimbursement for, under OSB Policy 4.103(a)(6). Note that this provision may trigger a reporting requirement for some Board members detailed below.
6. Policy 4.105 relates to the House of Delegates expenses. It includes the language under Policy 3.200.
7. Policy 4.106 relates to the ABA House of Delegates. It includes the language from Policy 5.100(b) and clarifies that the ABA Delegates have a set pool of allocated

funds, from which each delegate must draw a proportionate amount for reimbursement.

Additional changes include the a change to Policy 2.1600, 3.200, 5.100, and 15.100 to point to Policy 4.200, the deletion of Policy 2.2400, and a change to Policy 3.500 (HOD Parliamentarian) is adjusted to reference proposed Policy 4.103.

C. Miscellaneous Provisions

For employees, as noted in proposed Policy 4.102, OSB Human Resources policies will control employee expenses. The OSB Employee Handbook and other internal employee policies also contain scattered outdated, and inconsistent provisions regarding expense reimbursement. GCO plans to perform a similar review and overhaul of the reimbursement policies for OSB employees over the next few months.

The OSB Standard Section Bylaws Article IX states that individuals who attend certain section events or programs for the purpose of providing a significant service to the section may be eligible for reimbursement pursuant to OSB Bylaw Section 7.5, which is now obsolete. GCO has recommended to member services general language referencing the OSB Bylaws and Policies and editing OSB Standard Section Bylaw Article IX accordingly. Member services is expected to present an updated set of OSB Standard Section Bylaws, including this change, in September.

D. Government Ethics Law

Under ORS 244.020(12), Board members may have a potential conflict of interest in this change to policy as the effect of it could be the private pecuniary benefit or detriment of the person or the person's relative. Specifically, the new provision under proposed OSB Policy 4.104(b), could affect those Board members who plan to bring a spouse or guest to a future Board dinner, or to the Western States Bar Conference dinner. Board members potentially affected by this should announce their potential conflict of interest in open session prior to a vote. A potential conflict of interest does not prohibit you from discussing or voting on the matter, so long as it is announced.

Attachments

Exhibit 1: OSB Reimbursement Bylaws Redline

Exhibit 2: OSB Bylaw Proposed Changes Clean Copy

Exhibit 3: OSB Reimbursement Policies Redline

Exhibit 4: OSB Policies Proposed Changes Clean Copy

OSB Bylaws Redlines

Section 2.16 Expenses

~~All provisions of Section 2.24 of the Bar's Bylaws (Expense Reimbursement) apply to the Board of Governors.~~

~~Members of the Board of Governors are eligible for expense reimbursement pursuant to OSB Bylaw 4.1.~~

Article 4 ~~Awards~~ General Administration

Section 4.1 Expense Reimbursement

~~(a) Members of the Board of Governors, House of Delegates, State Professional Responsibility Board, Disciplinary Board, Oregon New Lawyers Division, or any other special task force, committee, or group named by the Board of Governors will be reimbursed for their expenses in accordance with this Bylaw and OSB Policies when acting in their official capacities. The Immediate Past President of the Board of Governors and the CEO of the Oregon State Bar are also eligible for reimbursement under this section.~~

~~(b) Expenses of spouses or guests will not be reimbursed except as specifically provided in the Board policies and approved by the Board of Governors.~~

~~(c) Any person who is entitled to a travel reimbursement pursuant to this section may retain travel awards, mileage awards, credit card awards and other awards or benefits accrued while in the conduct of the person's official duties, as part of their reimbursement of expenses and official compensation. As to members of the Board of Governors, this subsection shall only apply to the President and President-Elect in office on January 1, 2020, and members of the Board of Governors whose terms commence on or after January 1, 2019.~~

~~(d) Bar funds shall not be used to pay the cost of alcoholic beverages.~~

~~Expenses of the Immediate Past President will be reimbursed as approved by the Board.~~

Section 4.2 Awards

Section 2.10 Officers

(a) President The President presides at all meetings of the Board and has the authority to exercise the Board's power between board meetings and to take appropriate action whenever the President finds that a board meeting is not necessary or cannot reasonably be convened. However, the President's action must be consistent with any actions taken or policies previously adopted by the Board or by the membership. The President must report any such action at the next board meeting. The President performs such other duties as the Board directs. The President is the official chief spokesperson for the Bar. If public appearances or statements by the chairperson or other officer or

member of any bar committee are deemed necessary, prior authority must be obtained in advance from the President.

(b) President-Elect The President-elect performs the duties of the President in the absence, inability or refusal of the President to perform those duties. The President-elect performs other duties as the Board directs.

(c) Immediate Past President The Immediate Past President is a non-voting ex officio member of the Board. Upon completion of the term for which the President is elected, the President becomes the Immediate Past-President for one year. The duties of the Immediate Past President will be as agreed between the Immediate Past President and the Board from time to time. ~~Expenses of the Immediate Past President will be reimbursed as approved by the Board.~~

Section 2.24

~~[Reserved]~~

~~Expense Reimbursement~~

~~(a) Bar employees and members of the Board of Governors, State Professional Responsibility Board, Disciplinary Board, New Lawyers Division Board or any other special task force or commission named by the Board of Governors will be reimbursed for their expenses in accordance with Board policies when acting in their official capacities. Expenses of spouses or guests will not be reimbursed except as specifically approved by the Board of Governors.~~

~~(b) Any person who is entitled to a travel reimbursement pursuant to this section may retain travel awards, mileage awards, credit card awards and other awards or benefits accrued while in the conduct of the person's official duties, as part of their reimbursement of expenses and official compensation. As to members of the Board of Governors, this subsection shall only apply to the President and President-Elect in office on January 1, 2020, and members of the Board of Governors whose terms commence on or after January 1, 2019.~~

Section 16.1 State Professional Responsibility Board

(a) The State Professional Responsibility Board ("SPRB") is authorized to exercise its powers and authority pursuant to statute, the rules of procedure and the Bar's bylaws.

~~(b) All members of the SPRB will receive the same reimbursement of expenses as is accorded the members of the Board of Governors.~~

~~(bc)~~ If a complainant, respondent or their representatives contact a SPRB member concerning the merits of a disciplinary complaint, the SPRB member contacted must make a full disclosure of the nature of the contact before the SPRB takes action on the complaint.

~~(cd)~~ The service of members of the State Professional Responsibility Board against whom charges of misconduct have been approved for filing by the State Professional Responsibility Board should recuse themselves from service until the charges filed against them have been resolved. The

member should not resume service on the board until the member is once again authorized to practice law. Charges of misconduct include those authorized to be filed pursuant to BR 3.4.

| ~~(d)~~ The Board of Governors may nominate and request the Supreme Court to appoint a temporary replacement to serve until the member suspended under this bylaw is again able to serve. The temporary replacement will have the same rights and responsibilities as any other member of the entity.

OSB Bylaws

Section 2.10 Officers

(a) President The President presides at all meetings of the Board and has the authority to exercise the Board's power between board meetings and to take appropriate action whenever the President finds that a board meeting is not necessary or cannot reasonably be convened. However, the President's action must be consistent with any actions taken or policies previously adopted by the Board or by the membership. The President must report any such action at the next board meeting. The President performs such other duties as the Board directs. The President is the official chief spokesperson for the Bar. If public appearances or statements by the chairperson or other officer or member of any bar committee are deemed necessary, prior authority must be obtained in advance from the President.

(b) President-Elect The President-elect performs the duties of the President in the absence, inability or refusal of the President to perform those duties. The President-elect performs other duties as the Board directs.

(c) Immediate Past President The Immediate Past President is a non-voting ex officio member of the Board. Upon completion of the term for which the President is elected, the President becomes the Immediate Past-President for one year. The duties of the Immediate Past President will be as agreed between the Immediate Past President and the Board from time to time.

Section 2.16 Expenses

Members of the Board of Governors are eligible for expense reimbursement pursuant to OSB Bylaw 4.1.

Section 2.24

[Reserved]

Article 4 General Administration

Section 4.1 Expense Reimbursement

(a) Members of the Board of Governors, House of Delegates, State Professional Responsibility Board, Disciplinary Board, Oregon New Lawyers Division, or any other special task force, committee, or group named by the Board of Governors will be reimbursed for their expenses in accordance with this Bylaw and OSB Policies when acting in their official capacities. The Immediate Past President of the Board of Governors and the CEO of the Oregon State Bar are also eligible for reimbursement under this section.

(b) Expenses of spouses or guests will not be reimbursed except as specifically provided in the Board policies and approved by the Board of Governors.

(c) Any person who is entitled to a travel reimbursement pursuant to this section may retain travel awards, mileage awards, credit card awards and other awards or benefits accrued while in the conduct of the person's official duties, as part of their reimbursement of expenses and official

compensation. As to members of the Board of Governors, this subsection shall only apply to the President and President-Elect in office on January 1, 2020, and members of the Board of Governors whose terms commence on or after January 1, 2019.

(d) Bar funds shall not be used to pay the cost of alcoholic beverages.

Section 4.2 Awards

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Section 16.1 State Professional Responsibility Board

(a) The State Professional Responsibility Board ("SPRB") is authorized to exercise its powers and authority pursuant to statute, the rules of procedure and the Bar's bylaws.

(b) If a complainant, respondent or their representatives contact a SPRB member concerning the merits of a disciplinary complaint, the SPRB member contacted must make a full disclosure of the nature of the contact before the SPRB takes action on the complaint.

(c) The service of members of the State Professional Responsibility Board against whom charges of misconduct have been approved for filing by the State Professional Responsibility Board should recuse themselves from service until the charges filed against them have been resolved. The member should not resume service on the board until the member is once again authorized to practice law. Charges of misconduct include those authorized to be filed pursuant to BR 3.4.

(d) The Board of Governors may nominate and request the Supreme Court to appoint a temporary replacement to serve until the member suspended under this bylaw is again able to serve. The temporary replacement will have the same rights and responsibilities as any other member of the entity.

Oregon State Bar Policies

(Adopted by the Board of Governors September 22, 2023)

Chapter 2 Board of Governors

Policy 2.1600 Expenses

BOG members will be eligible for expense reimbursement pursuant to OSB Policy 4.100.

~~(a) Officers of the Board who, because of their office, must occupy a suite or special room other than the standard room occupied by most board members will be entitled to be reimbursed for the extra expense. Members of the Board who host board dinners will be reimbursed the actual cost of the dinner regardless of whether it is held in the board member's home or at a restaurant.~~

~~(b) The Bar will reimburse the actual expenses of the President and/or President-elect and their spouses or partners and the Chief Executive Officer, to any out-of-state conference that is included in the annual budget. Other attending board members are not eligible for any reimbursement unless specifically authorized by the Board. Each year the Bar will reimburse the actual expenses of the President-elect and spouse or partner and the Chief Executive Officer, to attend the ABA Bar Leadership Conference or a comparable conference.~~

~~(c) The expense of gifts by the Board to its retiring members is a budgeted expense.~~

Policy 2.2400 Expense Reimbursement

~~(a) Requests for expense reimbursement must be received in the Accounting Department not later than 30 days after the expense has been incurred. If an expense reimbursement form is submitted more than 30 days after the expense is incurred, it must be supported by an explanation for the delay. The Chief Financial Officer may deny any late-submitted request for which the justification is deemed insufficient. A person whose request for reimbursement is denied may request that the Chief Executive Officer review the decision. Supporting documentation in the form of original receipts or copies of original receipts must be submitted with all requests for reimbursement of expenses while acting on official bar business.~~

~~(b) Eligible reimbursable expenses while on official business include the following:~~

~~(1) Out-of-State Travel:~~

~~Out-of-state travel for board members will be reimbursed for those persons and meetings set forth in the Bar's annual budget or as otherwise approved by the Board of Governors. Employees must obtain prior approval of the Chief Executive Officer prior to traveling out-of-state.~~

~~(2) Transportation:~~

~~Use of a personal automobile is reimbursed at the allowable IRS rate. Airfare is reimbursed at the actual cost of coach fare unless the flight is at least three hours and an upgrade to business class can be obtained for \$100 or less. Actual cost of taxi, bus or other public transportation is reimbursable. Actual cost of car rental at economy car rate when other transportation is not readily available.~~

~~(3) Lodging:~~

~~Actual cost for a moderately priced, double occupancy room, except when the location of the meeting or conference requires other arrangements. Receipts for lodging must be attached to the reimbursement form.~~

~~(4) Meals:~~

~~Reimbursement for meals will be made at actual cost of the meal provided that the expense is supported by itemized receipts and meets the standard of reasonableness. A request for reimbursement for meals without receipts will be reimbursed according to the rates published under the Federal Travel Regulations as put out by the U.S. General Service Administration for federal government travel. Meals purchased for members of the Bar or other persons in the course of official bar business will be reimbursed at actual cost with submission of itemized receipts and an explanation provided it meets the standard of reasonableness. Official dinners of the Bar or law-related groups which staff, BOG members or volunteers and their spouses or guests are expected to attend will be paid for by the Bar and, if not, will be eligible for reimbursement.~~

~~(5) Miscellaneous Costs:~~

~~Telephone, postage, office expense, registration fees and other legitimate business expenses will be reimbursed at actual cost with submission of receipts or an explanation of the business purpose of the expense. Bar funds must not be used to pay the cost of alcoholic beverages.~~

Chapter 3 House of Delegates

Policy 3.200 Delegates

~~HOD members will be eligible for expense reimbursement pursuant to OSB Policy 4.105.~~

~~Elected members of the House of Delegates and ex-officio delegates from sections and local bars will be reimbursed for their transportation to and from the annual HOD meetings, as allowed by these Policies. The reimbursement is limited to roundtrip mileage up to 400 miles at the allowable IRS rate. Requests for mileage reimbursement must be submitted on a form approved by the Bar within 30 days after the meeting. Public member delegates will be reimbursed for their transportation, meals and lodging as provided in Bylaw Section 2.24.~~

Policy 3.500 House of Delegates Parliamentarian

~~The House parliamentarian should be knowledgeable about parliamentary procedure and familiar with the Bar's Bylaws, Policies, and the House of Delegates Rules of Procedure. The parliamentarian will serve without compensation. The Board of Governors authorizes the ; however, the Bar to reimburse mileage or travel expenses may pay the expenses for the parliamentarian to attend the House meeting as allowed by OSB Policy 4.103, in Section 2.24 of the Bar's Bylaws.~~

Chapter 4 ~~Awards~~ General Administration

Policy 4.100 Expenses and Reimbursements

The Board of Governors hereby authorizes the Bar to provide expenses and reimburse the costs of reasonable and necessary expenses for individuals on official business for the bar as described in this Chapter.

Policy 4.101 - Eligible Parties

The individuals described in OSB Bylaw 4.1 shall be eligible for expense reimbursement while on official business for the bar pursuant to this policy. The Board of Governors also authorizes OSB Delegates to the ABA House of Delegates, CLE speakers and planners, as well as OSB Section members who attend a section program or event for the purpose of providing a significant service to the section for expense reimbursement pursuant to Bylaw 4.1.

Policy 4.102 – Employee Expenses

Reimbursement for OSB employees shall be governed by employment policies and procedures in the OSB Employee Handbook.

Policy 4.103– Eligible Expenses

(a) Eligible reimbursable expenses while on official business include the following:

(1) Out-of-State Travel: Out-of-state travel will be reimbursed for those persons and meetings set forth in the Bar’s annual budget or as otherwise approved by the Board of Governors.

(2) Transportation: The use of a personal automobile for official business will be reimbursed at the allowable IRS rate. Airfare is reimbursed at the actual cost of coach fare, unless the flight is at least three hours and an upgrade can be obtained for \$100 or less. The actual cost of taxi, bus or other public transportation used for official business is reimbursable. The actual cost of car rental used for official business at the economy car rate when other transportation is not readily available is also reimbursable.

(3) Lodging: The actual cost for a moderately priced, double-occupancy room is reimbursable, except when the location of the meeting or conference requires other arrangements.

(4) Meals: Reimbursement for meals will be made at the actual cost of the meal provided that the expense is supported by itemized receipts and meets the standard of reasonableness. Meals purchased for eligible members of the Bar during official bar business will be reimbursed at actual cost with submission of itemized receipts and an explanation provided it meets the standard of reasonableness.

(5) Meals without Receipt: A request for reimbursement for meals without receipts may be reimbursed at the cost of the meal provided it meets the standard of reasonableness or at the rates published under the Federal Travel Regulations by the U.S. General Service Administration for federal government travel.

(6) Dinners: Official dinners of the Bar or law-related groups which Board members or volunteers and their spouses or guests are expected to attend as representatives of the Bar will be paid for by the Bar and, if not, will be eligible for reimbursement.

(7) Entertainment and Recreational Activities: The costs of entertainment and recreational activities will not be reimbursed unless such entertainment or recreational activity either serves a ceremonial purpose or is incidental to the main purpose of the event. Such eligible entertainment and recreational activities shall also be approved by the Board of Governors prior to reimbursement.

(8) Miscellaneous Costs: Telephone, postage, office expense, registration fees and other legitimate business expenses will be reimbursed at actual cost with submission of receipts or an explanation of the business purpose of the expense.

(b) Requests for expense reimbursement must be received in the OSB Accounting Department not later than 30 days after the expense has been incurred. If an expense reimbursement form is submitted more than 30 days after the expense is incurred, it must be supported by an explanation for the delay. The Chief Financial Officer may deny any late-submitted request for which the justification is deemed insufficient. A person whose request for reimbursement is denied may request that the Chief Executive Officer review the decision. Supporting documentation in the form of original receipts or copies of original receipts must be submitted with all requests for reimbursement of expenses while acting on official bar business.

Policy 4.104 Board of Governors Expenses

(a) Officers of the Board who, because of their office, must occupy a suite or special room other than the standard room occupied by most board members will be entitled to be reimbursed for the extra expense.

(b) The Board invites and expects spouses or guests of Board members to attend official board dinners and the Western States Bar Conference dinner for Board members. The Board may authorize additional events that spouses and guests are expected to attend through official action.

(c) Members of the Board who host official board dinners will be reimbursed the actual cost of the dinner regardless of whether it is held in the Board member's home or at a restaurant.

(d) Each year the Bar will reimburse the actual expenses of the President or President-elect, along with their spouse or partner, and the Chief Executive Officer to attend the ABA Bar Leadership Conference or a comparable conference. The Bar will also reimburse the actual expenses of the President or President-elect, along with their spouse or partner, and the Chief Executive Officer, to any out-of-state conference included in the annual budget approved by the Board.

(e) If the President or President-elect attend a conference, other attending board members are not eligible for any reimbursement unless specifically authorized by the Board.

(f) The expense of gifts by the Board to its retiring members is a budgeted expense.

Policy 4.105 OSB House of Delegates

(a) Elected members of the House of Delegates and ex officio delegates from sections and local bars will be reimbursed for their transportation to and from the annual HOD meetings, as allowed by these Policies. The reimbursement for roundtrip mileage is limited up to 400 miles at the allowable IRS rate.

(b) Public member delegates will be reimbursed for their transportation, meals, and lodging.

Policy 4.106 OSB Delegates to the ABA House of Delegates

(a) Each year, the Board of Governors shall allocate in the budget an amount for expenses for OSB Delegates to attend the ABA House of Delegates mid-year and annual meetings on official business. The Bar will reimburse Oregon State Bar delegates to the ABA House of Delegates the cost of travel, meals and lodging in attending the ABA annual and mid-year meetings in accordance with the OSB Bylaws and Policies from the allocated amount set by the Board of Governors. Bar reimbursement of delegate expenses shall not exceed each delegate's proportionate share of the total allocated amount established by the Board of Governors each year.

(b) Expenses subject to reimbursement under this Policy do not include those reimbursed by the ABA to individual delegates.

Policy 4.2100 Award Criteria

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Chapter 5 Oregon State Bar Delegates to the American Bar Association House of Delegates

Policy 5.100 Oregon State Bar Delegates to the American Bar Association House of Delegates

(a) Candidate Statements for the House of Delegates of the American Bar Association ("ABA") must be in writing. The Chief Executive Officer will prepare forms for the candidate statements and supply the forms to applicants. The applicants must file the forms with the Chief Executive Officer not more than 90 nor less than 30 days before the election held in conjunction with the Oregon State Bar House of Delegates election.

(b) Delegates will be reimbursed for expenses pursuant to OSB Policy 4.106.

~~The Oregon State Bar will reimburse Oregon State Bar delegates to the ABA House of Delegates their individual expenses in attending the ABA annual and mid-year meetings. Expenses subject to reimbursement under this section do not include those reimbursed by the ABA to individual delegates, and are limited to an amount established each year by the Board of Governors. Bar reimbursement of delegate expenses must not exceed each delegate's proportionate share of the total amount established by the Board of Governors each year.~~

Chapter 15 Bar Programs

Policy 15.100 CLE Seminars

- (a) Except as otherwise provided herein, participating members of the Bar will not receive compensation for services on behalf of CLE Seminars or Legal Publications, beyond a modest memento or other recognition and payment of expenses within board guidelines.
- (b) Complimentary registration for CLE seminars and scheduled video replays where the CLE Seminars Department is the content provider is available to the following OSB lawyer members: Active Pro Bono members, lawyer-legislators, 50-year members, judges, and judicial clerks.
- (c) Complimentary registration does not include the cost of lunch, materials in hard copy for which a separate fee is charged, any fee-based activities held in conjunction with a CLE seminar, or any other item not included in the registration fee.
- (d) Reduced registration for webcasts where the CLE Seminars Department is the content provider is available for the following lawyer members: Active Pro Bono members, lawyer-legislators, 50-year members, judges, and judicial clerks.
- (e) For purposes this policy, “judges” means full or part-time paid judges and referees of the Circuit Courts, the Court of Appeals, the Tax Court, the Supreme Court, and of tribal and federal courts within Oregon. Complimentary registration at any event for judicial clerks will be limited to one clerk for each trial court judge and two clerks for each appellate court judge.
- (f) Complimentary registration for Active Pro Bono members is limited to eight (8) hours of programming in any one calendar year, which may be used in increments.
- (g) Reduced registration, tuition assistance and complimentary copies of programs may be available to certain other attendees, at the sole discretion of the CLE Seminars Director.
- (h) Discounts for and complimentary copies of archived CLE Seminars products in any format where the CLE Seminars Department is the content provider may be available at the sole discretion of the CLE Seminars Director.
- (i) Seminars and seminar products in any format where the CLE Seminars Department is not the content provider are not subject to any discounts, complimentary registration or complimentary copies except at the sole discretion of the CLE Seminars Director.
- (j) CLE seminar speakers and planners will be admitted free to the seminar and receive seminar materials without charge. CLE seminar speakers and planners are eligible for reimbursement for necessary travel expenses subject to the Bar’s ~~travel reimbursement~~ [Bylaws and Policies](#).

Oregon State Bar Policies

Chapter 2 Board of Governors

Policy 2.1600 Expenses

BOG members will be eligible for expense reimbursement pursuant to OSB Policy 4.100.

Chapter 3 House of Delegates

Policy 3.200 Delegates

HOD members will be eligible for expense reimbursement pursuant to OSB Policy 4.105.

Policy 3.500 House of Delegates Parliamentarian

The House parliamentarian should be knowledgeable about parliamentary procedure and familiar with the Bar's Bylaws, Policies, and the House of Delegates Rules of Procedure. The parliamentarian will serve without compensation. The Board of Governors authorizes the Bar to reimburse mileage or travel expenses for the parliamentarian to attend the House meeting as allowed by OSB Policy 4.103.

Chapter 4 General Administration

Policy 4.100 Expenses and Reimbursements

The Board of Governors hereby authorizes the Bar to provide expenses and reimburse the costs of reasonable and necessary expenses for individuals on official business for the bar as described in this Chapter.

Policy 4.101 - Eligible Parties

The individuals described in OSB Bylaw 4.1 shall be eligible for expense reimbursement while on official business for the bar pursuant to this policy. The Board of Governors also authorizes OSB Delegates to the ABA House of Delegates, CLE speakers and planners, as well as OSB Section members who attend a section program or event for the purpose of providing a significant service to the section for expense reimbursement pursuant to Bylaw 4.1.

Policy 4.102 – Employee Expenses

Reimbursement for OSB employees shall be governed by employment policies and procedures in the OSB Employee Handbook.

Policy 4.103– Eligible Expenses

(a) Eligible reimbursable expenses while on official business include the following:

(1) Out-of-State Travel: Out-of-state travel will be reimbursed for those persons and meetings set forth in the Bar’s annual budget or as otherwise approved by the Board of Governors.

(2) Transportation: The use of a personal automobile for official business will be reimbursed at the allowable IRS rate. Airfare is reimbursed at the actual cost of coach fare, unless the flight is at least three hours and an upgrade can be obtained for \$100 or less. The actual cost of taxi, bus or other public transportation used for official business is reimbursable. The actual cost of car rental used for official business at the economy car rate when other transportation is not readily available is also reimbursable.

(3) Lodging: The actual cost for a moderately priced, double-occupancy room is reimbursable, except when the location of the meeting or conference requires other arrangements.

(4) Meals: Reimbursement for meals will be made at the actual cost of the meal provided that the expense is supported by itemized receipts and meets the standard of reasonableness. Meals purchased for eligible members of the Bar during official bar business will be reimbursed at actual cost with submission of itemized receipts and an explanation provided it meets the standard of reasonableness.

(5) Meals without Receipt: A request for reimbursement for meals without receipts may be reimbursed at the cost of the meal provided it meets the standard of reasonableness or at the rates published under the Federal Travel Regulations by the U.S. General Service Administration for federal government travel.

(6) Dinners: Official dinners of the Bar or law-related groups which Board members or volunteers and their spouses or guests are expected to attend as representatives of the Bar will be paid for by the Bar and, if not, will be eligible for reimbursement.

(7) Entertainment and Recreational Activities: The costs of entertainment and recreational activities will not be reimbursed unless such entertainment or recreational activity either serves a ceremonial purpose or is incidental to the main purpose of the event. Such eligible entertainment and recreational activities shall also be approved by the Board of Governors prior to reimbursement.

(8) Miscellaneous Costs: Telephone, postage, office expense, registration fees and other legitimate business expenses will be reimbursed at actual cost with submission of receipts or an explanation of the business purpose of the expense.

(b) Requests for expense reimbursement must be received in the OSB Accounting Department not later than 30 days after the expense has been incurred. If an expense reimbursement form is submitted more than 30 days after the expense is incurred, it must be supported by an explanation for the delay. The Chief Financial Officer may deny any late-submitted request for which the justification is deemed insufficient. A person whose request for reimbursement is denied may request that the Chief Executive Officer review the decision. Supporting documentation in the form of original receipts or copies of

original receipts must be submitted with all requests for reimbursement of expenses while acting on official bar business.

Policy 4.104 Board of Governors Expenses

(a) Officers of the Board who, because of their office, must occupy a suite or special room other than the standard room occupied by most board members will be entitled to be reimbursed for the extra expense.

(b) The Board invites and expects spouses or guests of Board members to attend official board dinners and the Western States Bar Conference dinner for Board members. The Board may authorize additional events that spouses and guests are expected to attend through official action.

(c) Members of the Board who host official board dinners will be reimbursed the actual cost of the dinner regardless of whether it is held in the Board member's home or at a restaurant.

(d) Each year the Bar will reimburse the actual expenses of the President or President-elect, along with their spouse or partner, and the Chief Executive Officer to attend the ABA Bar Leadership Conference or a comparable conference. The Bar will also reimburse the actual expenses of the President or President-elect, along with their spouse or partner, and the Chief Executive Officer, to any out-of-state conference included in the annual budget approved by the Board.

(e) If the President or President-elect attend a conference, other attending board members are not eligible for any reimbursement unless specifically authorized by the Board.

(f) The expense of gifts by the Board to its retiring members is a budgeted expense.

Policy 4.105 OSB House of Delegates

(a) Elected members of the House of Delegates and ex officio delegates from sections and local bars will be reimbursed for their transportation to and from the annual HOD meetings, as allowed by these Policies. The reimbursement for roundtrip mileage is limited up to 400 miles at the allowable IRS rate.

(b) Public member delegates will be reimbursed for their transportation, meals, and lodging.

Policy 4.106 OSB Delegates to the ABA House of Delegates

(a) Each year, the Board of Governors shall allocate in the budget an amount for expenses for OSB Delegates to attend the ABA House of Delegates mid-year and annual meetings on official business. The Bar will reimburse Oregon State Bar delegates to the ABA House of Delegates the cost of travel, meals and lodging in attending the ABA annual and mid-year meetings in accordance with the OSB Bylaws and Policies from the allocated amount set by the Board of Governors. Bar reimbursement of delegate expenses shall not exceed each delegate's proportionate share of the total allocated amount established by the Board of Governors each year.

(b) Expenses subject to reimbursement under this Policy do not include those reimbursed by the ABA to individual delegates.

Policy 4.200 Award Criteria

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Chapter 5 Oregon State Bar Delegates to the American Bar Association House of Delegates

Policy 5.100 Oregon State Bar Delegates to the American Bar Association House of Delegates

(a) Candidate Statements for the House of Delegates of the American Bar Association ("ABA") must be in writing. The Chief Executive Officer will prepare forms for the candidate statements and supply the forms to applicants. The applicants must file the forms with the Chief Executive Officer not more than 90 nor less than 30 days before the election held in conjunction with the Oregon State Bar House of Delegates election.

(b) Delegates will be reimbursed for expenses pursuant to OSB Policy 4.106.

Chapter 15 Bar Programs

Policy 15.100 CLE Seminars

- (a) Except as otherwise provided herein, participating members of the Bar will not receive compensation for services on behalf of CLE Seminars or Legal Publications, beyond a modest memento or other recognition and payment of expenses within board guidelines.
- (b) Complimentary registration for CLE seminars and scheduled video replays where the CLE Seminars Department is the content provider is available to the following OSB lawyer members: Active Pro Bono members, lawyer-legislators, 50-year members, judges, and judicial clerks.
- (c) Complimentary registration does not include the cost of lunch, materials in hard copy for which a separate fee is charged, any fee-based activities held in conjunction with a CLE seminar, or any other item not included in the registration fee.
- (d) Reduced registration for webcasts where the CLE Seminars Department is the content provider is available for the following lawyer members: Active Pro Bono members, lawyer-legislators, 50-year members, judges, and judicial clerks.
- (e) For purposes this policy, “judges” means full or part-time paid judges and referees of the Circuit Courts, the Court of Appeals, the Tax Court, the Supreme Court, and of tribal and federal courts within Oregon. Complimentary registration at any event for judicial clerks will be limited to one clerk for each trial court judge and two clerks for each appellate court judge.
- (f) Complimentary registration for Active Pro Bono members is limited to eight (8) hours of programming in any one calendar year, which may be used in increments.
- (g) Reduced registration, tuition assistance and complimentary copies of programs may be available to certain other attendees, at the sole discretion of the CLE Seminars Director.
- (h) Discounts for and complimentary copies of archived CLE Seminars products in any format where the CLE Seminars Department is the content provider may be available at the sole discretion of the CLE Seminars Director.
- (i) Seminars and seminar products in any format where the CLE Seminars Department is not the content provider are not subject to any discounts, complimentary registration or complimentary copies except at the sole discretion of the CLE Seminars Director.
- (j) CLE seminar speakers and planners will be admitted free to the seminar and receive seminar materials without charge. CLE seminar speakers and planners are eligible for reimbursement for necessary travel expenses subject to the Bar’s Bylaws and Policies.