



The Law Society of
Upper Canada | Barreau
du Haut-Canada

Rules of Professional Conduct

~Effective November 1, 2000~

As of October 1, 2014, this version of the *Rules of Professional Conduct* is no longer in effect. Amendments to the Rules resulting from the implementation of the Federation of Law Societies Model Code of Professional Conduct, including a new numbering scheme, became effective on October 1, 2014.

Please visit lsuc.on.ca/lawyer-conduct-rules for the current *Rules of Professional Conduct*.

**Adopted by Convocation June 22, 2000
Amendments Current to January 23, 2014**

Table of Contents

RULE 1	CITATION AND INTERPRETATION	1
1.01	CITATION	1
1.02	DEFINITIONS	1
1.03	INTERPRETATION	5
	Standards of the Legal Profession.....	5
	General Principles.....	6
RULE 2	RELATIONSHIP TO CLIENTS	7
2.01	COMPETENCE	7
	Definitions.....	7
	Competence.....	9
2.02	QUALITY OF SERVICE.....	10
	Honesty and Candour.....	10
	When Client an Organization.....	10
	Encouraging Compromise or Settlement	11
	Threatening Criminal Proceedings	11
	Dishonesty, Fraud etc. by Client or Others.....	11
	Dishonesty, Fraud, etc. when Client an Organization	13
	Client Under a Disability	15
	Legal Services Under a Limited Scope Retainer	16
	Medical-Legal Reports.....	17
	Title Insurance in Real Estate Conveyancing	18
	Reporting on Mortgage Transactions.....	18
2.03	CONFIDENTIALITY	19
	Confidential Information	19
	Justified or Permitted Disclosure	20
	Literary Works	21
2.04	AVOIDANCE OF CONFLICTS OF INTEREST	22
	Definition	22
	Avoidance of Conflicts of Interest.....	22
	Acting Against Client	24
	Joint Retainer	25
	Affiliations Between Lawyers and Affiliated Entities.....	28
	Prohibition Against Acting for Borrower and Lender	29
	Multi-discipline Practice.....	29
	Unrepresented Persons.....	30
	Short-term limited legal services	30
2.04.1	LAWYERS ACTING FOR TRANSFEROR AND TRANSFEREE IN TRANSFERS OF TITLE	32
2.05	CONFLICTS FROM TRANSFER BETWEEN LAW FIRMS	33
	Definitions.....	33
	Application of Rule.....	33
	Law Firm Disqualification.....	34
	Transferring Lawyer Disqualification.....	35
	Determination of Compliance.....	36

	Due Diligence	36
2.06	DOING BUSINESS WITH A CLIENT	40
	Definitions	40
	Investment by Client where Lawyer has an Interest	40
	Certificate of Independent Legal Advice	41
	Borrowing from Clients	41
	Lawyers in Loan or Mortgage Transactions	42
	Disclosure	43
	No Advertising	43
	Guarantees by a Lawyer	43
2.07	PRESERVATION OF CLIENT'S PROPERTY	44
	Preservation of Client's Property	44
	Notification of Receipt of Property	44
	Identifying Client's Property	44
	Accounting and Delivery	44
2.08	FEES AND DISBURSEMENTS	45
	Reasonable Fees and Disbursements	45
	Contingency Fees and Contingency Fee Agreements	46
	Statement of Account	47
	Joint Retainer	47
	Division of Fees and Referral Fees	47
	Exception for Multi-discipline Practices and Interprovincial and International Law Firms	47
	Appropriation of Funds	48
2.09	WITHDRAWAL FROM REPRESENTATION	48
	Withdrawal from Representation	48
	Optional Withdrawal	49
	Non-payment of Fees	49
	Withdrawal from Criminal Proceedings	49
	Mandatory Withdrawal	50
	Manner of Withdrawal	51
	Duty of Successor Licensee	52
RULE 3	THE PRACTICE OF LAW	53
3.01	MAKING LEGAL SERVICES AVAILABLE	53
	Making Services Available	53
	Restrictions	53
3.02	MARKETING	54
	Marketing Legal Services	54
	Advertising of Fees	55
3.03	ADVERTISING NATURE OF PRACTICE	55
	Certified Specialist	55
3.04	INTERPROVINCIAL LAW FIRMS	55
	Interprovincial Law Firms	55
	Requirements	56

RULE 4	RELATIONSHIP TO THE ADMINISTRATION OF JUSTICE	57
4.01	THE LAWYER AS ADVOCATE	57
	Advocacy	57
	Duty as Prosecutor	59
	Discovery Obligations	60
	Disclosure of Error or Omission	60
	Courtesy	61
	Undertakings	61
	Agreement on Guilty Plea	61
4.02	THE LAWYER AS WITNESS	62
	Submission of Affidavit	62
	Submission of Testimony	62
	Appeals	62
4.03	INTERVIEWING WITNESSES	62
	Interviewing Witnesses	62
4.04	COMMUNICATION WITH WITNESSES GIVING EVIDENCE	63
	Communication with Witnesses Giving Evidence	63
4.05	RELATIONS WITH JURORS	64
	Communications Before Trial	64
	Disclosure of Information	64
	Communication During Trial	64
4.06	THE LAWYER AND THE ADMINISTRATION OF JUSTICE	65
	Encouraging Respect for the Administration of Justice	65
	Seeking Legislative or Administrative Changes	66
	Security of Court Facilities	66
4.07	LAWYERS AS MEDIATORS	66
	Role of Mediator	66
RULE 5	RELATIONSHIP TO STUDENTS, EMPLOYEES, AND OTHERS	68
5.01	SUPERVISION	68
	Application	68
	Direct Supervision required	68
	Electronic Registration of Title Documents	69
	Title Insurance	70
	Signing E-Reg™ Documents	70
5.02	STUDENTS	71
	Recruitment Procedures	71
	Duties of Principal	71
	Duties of Articling Student	71
5.03	SEXUAL HARASSMENT	71
	Definition	71
	Prohibition on Sexual Harassment	72
5.04	DISCRIMINATION	73
	Special Responsibility	73
	Services	74
	Employment Practices	74

RULE 6	RELATIONSHIP TO THE SOCIETY AND OTHER LAWYERS.....	77
6.01	RESPONSIBILITY TO THE PROFESSION GENERALLY	77
	Integrity.....	77
	Meeting Financial Obligations.....	77
	Duty to Report Misconduct.....	78
	Encouraging Client to Report Dishonest Conduct.....	79
	Duty to Report Certain Offences	79
6.02	RESPONSIBILITY TO THE SOCIETY	80
	Communications from the Society.....	80
6.03	RESPONSIBILITY TO LAWYERS AND OTHERS	80
	Courtesy and Good Faith	80
	Communications	81
	Communications with a represented person	81
	Communications with a represented corporation or organization	82
	Undertakings	87
6.04	OUTSIDE INTERESTS AND THE PRACTICE OF LAW	87
	Maintaining Professional Integrity and Judgment	87
6.05	THE LAWYER IN PUBLIC OFFICE	88
	Standard of Conduct	88
	Conflict of Interest	88
	Appearances before Official Bodies	89
	Conduct after Leaving Public Office	89
6.06	PUBLIC APPEARANCES AND PUBLIC STATEMENTS.....	89
	Communication with the Public.....	89
	Interference with Right to Fair Trial or Hearing.....	90
6.07	PREVENTING UNAUTHORIZED PRACTICE	91
	Preventing Unauthorized Practice.....	91
	Working With or Employing Unauthorized Persons	91
	Practice by Suspended Lawyers Prohibited.....	91
	Undertakings Not to Practise Law	92
	Undertakings to Practise Law Subject to Restrictions.....	92
6.08	RETIRED JUDGES RETURNING TO PRACTICE.....	92
	Definitions.....	92
	Appearance as Counsel	93
6.09	ERRORS AND OMISSIONS	93
	Informing Client of Error or Omission	93
	Notice of Claim.....	94
	Co-operation	94
	Responding to Client’s Claim.....	94
6.10	RESPONSIBILITY IN MULTI-DISCIPLINE PRACTICES.....	95
	Compliance with these Rules.....	95
6.11	DISCIPLINE	95
	Disciplinary Authority	95
	Professional Misconduct.....	95
	Conduct Unbecoming a Lawyer	95

Bibliography	97
Concordance	109
INDEX	124

Rule 1 Citation and Interpretation

1.01 CITATION

1.01 These rules may be cited as the *Rules of Professional Conduct*.

1.02 DEFINITIONS

1.02 In these rules, unless the context requires otherwise,

“affiliated entity” means any person or group of persons other than a person or group authorized to practice law in or outside Ontario;

[New – May 2001]

“affiliation” means the joining on a regular basis of a lawyer or group of lawyers with an affiliated entity in the delivery or promotion and delivery of the legal services of the lawyer or group of lawyers and the non-legal services of the affiliated entity;

[New – May 2001]

“associate” includes:

- (a) a licensee who is an employee of the law firm in which the licensee practices law or provides legal services; and
- (b) a non-licensee employee of a multi-discipline practice providing services that support or supplement the practice of law in which the non-licensee provides his or her services.

[Amended – September 2010]

“client” includes a client of the law firm of which the lawyer is a partner or associate, whether or not the lawyer handles the client’s work;

Commentary

A solicitor and client relationship is often established without formality. For example, an express retainer or remuneration is not required for a solicitor and client relationship to arise. Also, in some circumstances, a lawyer may have legal and ethical responsibilities similar to those arising from a solicitor and client relationship. For example, a lawyer may meet with a prospective client in circumstances that impart confidentiality, and, although no solicitor and client relationship is ever actually established, the lawyer may have a disqualifying conflict of interest if he or she were later to act against the prospective client. It is, therefore, in a lawyer’s own interest to carefully manage the establishment of a solicitor and client relationship.

“conduct unbecoming a barrister or solicitor” means conduct, including conduct in a lawyer’s personal or private capacity, that tends to bring discredit upon the legal profession including, for example,

- (a) committing a criminal act that reflects adversely on the lawyer's honesty, trustworthiness, or fitness as a lawyer,
- (b) taking improper advantage of the youth, inexperience, lack of education, unsophistication, ill health, or unbusinesslike habits of another, or
- (c) engaging in conduct involving dishonesty or conduct which undermines the administration of justice;

[Amended – May 2008]

Commentary

Dishonourable or questionable conduct on the part of a lawyer in either private life or professional practice will reflect adversely upon the integrity of the profession and the administration of justice. If the conduct, whether within or outside the professional sphere, is such that knowledge of it would be likely to impair the client's trust in the lawyer, the Society may be justified in taking disciplinary action.

Generally, however, the Society will not be concerned with the purely private or extra-professional activities of a lawyer that do not bring into question the lawyer's professional integrity.

“consent” means

- (a) a consent in writing, provided that where more than one person consents, each may sign a separate document recording his or her consent, or
- (b) an oral consent, provided that each person giving the oral consent receives a separate letter recording his or her consent;

“independent legal advice” means a retainer where

- (a) the retained lawyer, who may be a lawyer employed as in-house counsel for the client, has no conflicting interest with respect to the client's transaction,
- (b) the client's transaction involves doing business with
 - (i) another lawyer,
 - (ii) a corporation or other entity in which the other lawyer has an interest other than a corporation or other entity whose securities are publicly traded, or
 - (iii) a client of the other lawyer,
- (c) the retained lawyer has advised the client that the client has the right to independent legal representation,

- (d) the client has expressly waived the right to independent legal representation and has elected to receive no legal representation or legal representation from the other lawyer,
- (e) the retained lawyer has explained the legal aspects of the transaction to the client, who appeared to understand the advice given, and
- (f) the retained lawyer informed the client of the availability of qualified advisers in other fields who would be in a position to give an opinion to the client as to the desirability or otherwise of the proposed investment from a business point of view;

“independent legal representation” means a retainer where

- (a) the retained lawyer, who may be a lawyer employed as in-house counsel for the client, has no conflicting interest with respect to the client’s transaction, and
- (b) the retained lawyer will act as the client’s lawyer in relation to the matter;

Commentary

Where a client elects to waive independent legal representation but to rely on independent legal advice only, the retained lawyer has a responsibility that should not be lightly assumed or perfunctorily discharged.

“interprovincial law firm” means a law firm that carries on the practice of law in more than one province or territory of Canada;

“law firm” includes one or more lawyers practising

- (a) in a sole proprietorship,
- (b) in a partnership,
- (c) as a clinic under the Legal Aid Services Act 1998,
- (d) in a government, a Crown corporation, or any other public body, or
- (e) in a corporation or other body;

“lawyer” means a person licensed by the Society to practise law as a barrister and solicitor in Ontario and includes a candidate enrolled in the Society’s Licensing Process for lawyers;

“legal practitioner” means a person

- (a) who is a licensee; or

(b) who is not a licensee but who is a member of the bar of a Canadian jurisdiction, other than Ontario, and who is authorized to practise law as a barrister and solicitor in that other jurisdiction;

[New – June 2009]

“licensee” means a lawyer or a paralegal;

“limited scope retainer” means the provision of legal services by a lawyer for part, but not all, of a client’s legal matter by agreement between the lawyer and the client;

[New – September 2011]

“paralegal” means a person licensed by the Society to provide legal services in Ontario;

“professional misconduct” means conduct in a lawyer’s professional capacity that tends to bring discredit upon the legal profession including

- (a) violating or attempting to violate one of the rules in the *Rules of Professional Conduct* or a requirement of the *Law Society Act* or its regulations or by-laws,
- (b) knowingly assisting or inducing another legal practitioner to violate or attempt to violate the rules in the *Rules of Professional Conduct*, the *Paralegal Rules of Conduct* or a requirement of the *Law Society Act* or its regulations or by-laws,
- (c) knowingly assisting or inducing a non-licensee partner or associate of a multi-discipline practice to violate or attempt to violate the rules in the *Rules of Professional Conduct* or a requirement of the *Law Society Act* or its regulations or by-laws,
- (d) misappropriating or otherwise dealing dishonestly with a client’s or a third party’s money or property,
- (e) engaging in conduct that is prejudicial to the administration of justice,
- (f) stating or implying an ability to influence improperly a government agency or official, or
- (g) knowingly assisting a judge or judicial officer in conduct that is a violation of applicable rules of judicial conduct or other law;

[Amended – June 2009]

“Society” means The Law Society of Upper Canada;

“tribunal” includes courts, boards, arbitrators, mediators, administrative agencies, and bodies that resolve disputes, regardless of their function or the informality of their procedures.

1.03 INTERPRETATION**Standards of the Legal Profession**

- 1.03 (1) These rules shall be interpreted in a way that recognizes that
- (a) a lawyer has a duty to carry on the practice of law and discharge all responsibilities to clients, tribunals, the public, and other legal practitioners honourably and with integrity,
 - (b) a lawyer has special responsibilities by virtue of the privileges afforded the legal profession and the important role it plays in a free and democratic society and in the administration of justice, including a special responsibility to recognize the diversity of the Ontario community, to protect the dignity of individuals, and to respect human rights laws in force in Ontario,

[Amended – June 2009]

Commentary

A lawyer should, where appropriate, advise a client of the client's French language rights relating to the client's matter, including where applicable

- (a) subsection 19 (1) of the *Constitution Act*, 1982 on the use of French or English in any court established by Parliament,
- (b) section 530 of the *Criminal Code* about an accused's right to a trial before a court that speaks the official language of Canada that is the language of the accused,
- (c) section 126 of the *Courts of Justice Act* that requires that a proceeding in which the client is a party be conducted as a bilingual (English and French) proceeding, and
- (d) subsection 5(1) of the *French Language Services Act* for services in French from Ontario government agencies and legislative institutions.

[New – June 2001]

- (c) a lawyer has a duty to uphold the standards and reputation of the legal profession and to assist in the advancement of its goals, organizations, and institutions,
- (d) the rules are intended to express to the profession and to the public the high ethical ideals of the legal profession,
- (e) the rules are intended to specify the bases on which lawyers may be disciplined, and
- (f) rules of professional conduct cannot address every situation, and a lawyer should observe the rules in the spirit as well as in the letter.

General Principles

(2) In these rules, words importing the singular number include more than one person, party, or thing of the same kind and a word interpreted in the singular number has a corresponding meaning when used in the plural.

Rule 2 Relationship to Clients

2.01 COMPETENCE

Definitions

2.01 (1) In this rule

“competent lawyer” means a lawyer who has and applies relevant skills, attributes, and values in a manner appropriate to each matter undertaken on behalf of a client including

(a) knowing general legal principles and procedures and the substantive law and procedure for the areas of law in which the lawyer practises,

[Amended – June 2007]

(b) investigating facts, identifying issues, ascertaining client objectives, considering possible options, and developing and advising the client on appropriate courses of action,

(c) implementing, as each matter requires, the chosen course of action through the application of appropriate skills, including,

(i) legal research,

(ii) analysis,

(iii) application of the law to the relevant facts,

(iv) writing and drafting,

(v) negotiation,

(vi) alternative dispute resolution,

(vii) advocacy, and

(viii) problem-solving ability,

(d) communicating at all stages of a matter in a timely and effective manner that is appropriate to the age and abilities of the client,

(e) performing all functions conscientiously, diligently, and in a timely and cost-effective manner,

(f) applying intellectual capacity, judgment, and deliberation to all functions,

(g) complying in letter and in spirit with the Rules of Professional Conduct,

- (h) recognizing limitations in one's ability to handle a matter or some aspect of it, and taking steps accordingly to ensure the client is appropriately served,
- (i) managing one's practice effectively,
- (j) pursuing appropriate professional development to maintain and enhance legal knowledge and skills, and
- (k) adapting to changing professional requirements, standards, techniques, and practices.

Commentary

As a member of the legal profession, a lawyer is held out as knowledgeable, skilled, and capable in the practice of law. Accordingly, the client is entitled to assume that the lawyer has the ability and capacity to deal adequately with legal matters to be undertaken on the client's behalf.

A lawyer who is incompetent does the client a disservice, brings discredit to the profession, and may bring the administration of justice into disrepute. In addition to damaging the lawyer's own reputation and practice, incompetence may also injure the lawyer's partners and associates.

A lawyer should not undertake a matter without honestly feeling competent to handle it or being able to become competent without undue delay, risk, or expense to the client. This is an ethical consideration and is to be distinguished from the standard of care that a tribunal would invoke for purposes of determining negligence.

A lawyer must be alert to recognize any lack of competence for a particular task and the disservice that would be done to the client by undertaking that task. If consulted in such circumstances, the lawyer should either decline to act or obtain the client's instructions to retain, consult, or collaborate with a lawyer who is competent for that task. The lawyer may also recognize that competence for a particular task may require seeking advice from or collaborating with experts in scientific, accounting, or other non-legal fields, and, in such a situation, the lawyer should not hesitate to seek the client's instructions to consult experts.

A lawyer should clearly specify the facts, circumstances, and assumptions upon which an opinion is based. Unless the client instructs otherwise, the lawyer should investigate the matter in sufficient detail to be able to express an opinion rather than mere comments with many qualifications. If the circumstances do not justify an exhaustive investigation with consequent expense to the client, the lawyer should so state in the opinion.

When a lawyer considers whether to provide legal services under a limited scope retainer, he or she must carefully assess in each case whether, under the circumstances, it is possible to render those services in a competent manner. An agreement to provide such services does not exempt a lawyer from the duty to provide competent representation. As in any retainer, the lawyer should consider the legal knowledge, skill, thoroughness and preparation reasonably necessary for the representation. The lawyer should ensure that the client is fully informed of the nature of the arrangement and clearly understands the scope and limitation of the services. See also subrule 2.02(6.1) to 6.3).

[Amended – September 2011]

A lawyer should be wary of bold and confident assurances to the client, especially when the lawyer's employment may depend upon advising in a particular way.

In addition to opinions on legal questions, the lawyer may be asked for or may be expected to give advice on non-legal matters such as the business, policy, or social implications involved in the question or the course the client should choose. In many instances the lawyer's experience will be such that the lawyer's views on non-legal matters will be of real benefit to the client. The lawyer who expresses views on such matters should, where and to the extent necessary, point out any lack of experience or other qualification in the particular field and should clearly distinguish legal advice from other advice.

In a multi-discipline practice, a lawyer must be particularly alert to ensure that the client understands that he or she is receiving legal advice from a lawyer supplemented by the services of a non-licensee. If other advice or service is sought from non-licensee members of the firm, it must be sought and provided independently of and outside the scope of the retainer for the provision of legal services and will be subject to the constraints outlined in the relevant by-laws and regulations governing multi-discipline practices. In particular, the lawyer should ensure that such advice or service of non-licensees is provided from a location separate from the premises of the multi-discipline practice.

Whenever it becomes apparent that the client has misunderstood or misconceived the position or what is really involved, the lawyer should explain, as well as advise, so that the client is apprised of the true position and fairly advised about the real issues or questions involved.

The requirement of conscientious, diligent, and efficient service means that a lawyer should make every effort to provide service to the client. If the lawyer can reasonably foresee undue delay in providing advice or services, the client should be so informed.

[Amended - June 2009]

Competence

(2) A lawyer shall perform any legal services undertaken on a client's behalf to the standard of a competent lawyer.

Commentary

This rule does not require a standard of perfection. An error or omission, even though it might be actionable for damages in negligence or contract, will not necessarily constitute a failure to maintain the standard of professional competence described by the rule.

Incompetent professional practice may give rise to disciplinary action under this rule.

In addition to this rule, the *Law Society Act* provides that the Society may conduct a review of a lawyer's practice to determine if the lawyer is meeting standards of professional competence. A review will be conducted in circumstances defined in the by-laws under the *Law Society Act*.

A lawyer may also be subject to a hearing at which it will be determined whether the lawyer is failing or has failed to meet standards of professional competence.

The Act provides that a lawyer fails to meet standards of professional competence if there are deficiencies in (a) the lawyer's knowledge, skill, or judgment, (b) the lawyer's attention to the interests of clients, (c) the records, systems, or procedures of the lawyer's professional business, or (d) other aspects of the lawyer's professional business, and the deficiencies give rise to a reasonable apprehension that the quality of service to clients may be adversely affected.

2.02 QUALITY OF SERVICE**Honesty and Candour**

2.02 (1) When advising clients, a lawyer shall be honest and candid.

Commentary

The lawyer's duty to the client who seeks legal advice is to give the client a competent opinion based on a sufficient knowledge of the relevant facts, an adequate consideration of the applicable law, and the lawyer's own experience and expertise.

The advice must be open and undisguised and must clearly disclose what the lawyer honestly thinks about the merits and probable results.

When Client an Organization

(1.1) Notwithstanding that the instructions may be received from an officer, employee, agent, or representative, when a lawyer is employed or retained by an organization, including a corporation, in exercising his or her duties and in providing professional services, the lawyer shall act for the organization.

Commentary

A lawyer acting for an organization should keep in mind that the organization, as such, is the client and that a corporate client has a legal personality distinct from its shareholders, officers, directors, and employees. While the organization or corporation will act and give instructions through its officers, directors, employees, members, agents, or representatives, the lawyer should ensure that it is the interests of the organization that are to be served and protected. Further, given that an organization depends upon persons to give instructions, the lawyer should ensure that the person giving instructions for the organization is acting within that person's actual or ostensible authority.

In addition to acting for the organization, the lawyer may also accept a joint retainer and act for a person associated with the organization. An example might be a lawyer advising about liability insurance for an officer of an organization. In such cases the lawyer acting for an organization should be alert to the prospects of conflicts of interest and should comply with the rules about the avoidance of conflicts of interest (rule 2.04).

[New – March 2004]

Encouraging Compromise or Settlement

(2) A lawyer shall advise and encourage the client to compromise or settle a dispute whenever it is possible to do so on a reasonable basis and shall discourage the client from commencing useless legal proceedings.

(3) The lawyer shall consider the use of alternative dispute resolution (ADR) for every dispute, and, if appropriate, the lawyer shall inform the client of ADR options and, if so instructed, take steps to pursue those options.

Threatening Criminal Proceedings

(4) A lawyer shall not advise, threaten, or bring a criminal or quasi-criminal prosecution in order to secure a civil advantage for the client.

Dishonesty, Fraud etc. by Client or Others

(5) A lawyer shall not

(a) knowingly assist in or encourage any dishonesty, fraud, crime, or illegal conduct;

(b) advise a client or any other person on how to violate the law and avoid punishment.

[Amended – April 2012]

(5.0.1) A lawyer shall not act or do anything or omit to do anything in circumstances where he or she ought to know that, by acting, doing the thing or omitting to do the thing, he or she is being used by a client, by a person associated with a client or by any other person to facilitate dishonesty, fraud, crime or illegal conduct.

[New – April 2012]

(5.0.2) When retained by a client, a lawyer shall make reasonable efforts to ascertain the purpose and objectives of the retainer and to obtain information about the client necessary to fulfill this obligation.

(5.0.3) A lawyer shall not use his or her trust account for purposes not related to the provision of legal services.

[Amended – April 2011]

Commentary

Subrule (5), which states that a lawyer must not knowingly assist in or encourage dishonesty, fraud, crime, or illegal conduct, applies whether the lawyer's knowledge is actual or in the form of wilful blindness or recklessness. A lawyer should also be on guard against being used as the tool or dupe of an unscrupulous client or persons associated with such a client or any other person. Subrules (5.0.1) to (5.0.3) speak to these issues.

[Amended – October 2012]

A lawyer should be alert to and avoid unwittingly becoming involved with a client or any other person who is engaged in criminal activity such as mortgage fraud or money laundering. Vigilance is required because the means for these and other criminal activities may be transactions for which lawyers commonly provide services such as: establishing, purchasing or selling business entities; arranging financing for the purchase or sale or operation of business entities; arranging financing for the purchase or sale of business assets; and purchasing and selling real estate.

To obtain information about the client and about the subject matter and objectives of the retainer, the lawyer may, for example, need to verify who are the legal or beneficial owners of property and business entities, verify who has the control of business entities, and clarify the nature and purpose of a complex or unusual transaction where the purpose is not clear. The lawyer should make a record of the results of these inquiries. It is especially important to obtain this information where a lawyer has suspicions or doubts about whether he or she might be assisting a client or any other person in dishonesty, fraud, crime or illegal conduct. Lawyers should be vigilant in identifying the presence of “red flags” in their areas of practice and make inquiries to determine whether a proposed retainer relates to a *bona fide* transaction. Information on “Red Flags in Real Estate Transactions” appears below.

[Amended – October 2012]

A client or another person may attempt to use a lawyer's trust account for improper purposes, such as hiding funds, money laundering or tax sheltering. These situations highlight the fact that when handling trust funds, it is important for a lawyer to be aware of his or her obligations under these subrules and the Law Society's By-laws that regulate the handling of trust funds.

A *bona fide* test case is not necessarily precluded by subrule 2.02(5) and, so long as no injury to the person or violence is involved, a lawyer may properly advise and represent a client who, in good faith and on reasonable grounds, desires to challenge or test a law and the test can most effectively be made by means of a technical breach giving rise to a test case.

[Amended – April 2011]

Red Flags in Real Estate Transactions

A lawyer representing any party in a real estate transaction should be vigilant in identifying the presence of “red flags” and make inquiries to determine whether it is a *bona fide* transaction. Red flags include such things as:

- purchase price manipulations (revealed by, for example, deposits purportedly paid directly to the vendor, price escalations and “flips” in which a property is sold and re-sold within a short period of time for a substantially higher price, reductions in the balance due on closing in consideration of extra credits or deposits not required by the purchase agreement, amendments to the purchase price not disclosed to the mortgage lender, the acceptance on closing of an amount less than the balance due, a mortgage advance which approximates or exceeds the balance due resulting in surplus mortgage proceeds, and so on);
- a nominal role for one or more parties (fraud is sometimes effected through the use of “straw people,” who may not exist or whose identities have either been purchased or stolen, as well as through the suspicious use of powers of attorney);
- the purchaser contributes no funds or only a nominal amount towards the purchase price or the balance due on closing;
- signs that the parties are concealing a non-arm’s length relationship or are colluding with respect to the purchase price;
- suspicious or repeated third-party involvement (for example, giving instructions, supplying client directions or identification, and providing or receiving funds on closing); and
- the proceeds of sale are disbursed or directed to be paid to parties who are unrelated to the transaction.

The red flags listed above are not an exhaustive list. Further information regarding red flags are available from many sources, including the “Fighting Real Estate Fraud” page within the “Practice Resources” section of the website of the Law Society. Fraudulent real estate schemes and the red flags associated with such schemes are numerous and evolving. Lawyers who practise real estate law have a professional obligation therefore to educate themselves on an ongoing basis regarding the red flags of real estate fraud.

[New – October 2012]

Dishonesty, Fraud, etc. when Client an Organization

(5.1) When a lawyer is employed or retained by an organization to act in a matter and the lawyer knows that the organization intends to act dishonestly, fraudulently, criminally, or illegally with respect to that matter, then in addition to his or her obligations under subrule (5), the lawyer for the organization shall

- (a) advise the person from whom the lawyer takes instructions that the proposed conduct would be dishonest, fraudulent, criminal, or illegal,

(b) if necessary because the person from whom the lawyer takes instructions refuses to cause the proposed wrongful conduct to be abandoned, advise the organization's chief legal officer, or both the chief legal officer and the chief executive officer, that the proposed conduct would be dishonest, fraudulent, criminal or illegal,

(c) if necessary because the chief legal officer or the chief executive officer of the organization refuses to cause the proposed conduct to be abandoned, advise progressively the next highest persons or groups, including ultimately, the board of directors, the board of trustees, or the appropriate committee of the board, that the proposed conduct would be dishonest, fraudulent, criminal, or illegal, and

(d) if the organization, despite the lawyer's advice, intends to pursue the proposed course of conduct, withdraw from acting in the matter in accordance with rule 2.09.

(5.2) When a lawyer is employed or retained by an organization to act in a matter and the lawyer knows that the organization has acted or is acting dishonestly, fraudulently, criminally, or illegally with respect to that matter, then in addition to his or her obligations under subrule (5), the lawyer for the organization shall

(a) advise the person from whom the lawyer takes instructions and the chief legal officer, or both the chief legal officer and the chief executive officer, that the conduct was or is dishonest, fraudulent, criminal, or illegal and should be stopped,

(b) if necessary because the person from whom the lawyer takes instructions, the chief legal officer, or the chief executive officer refuses to cause the wrongful conduct to be stopped, advise progressively the next highest persons or groups, including ultimately, the board of directors, the board of trustees, or the appropriate committee of the board, that the conduct was or is dishonest, fraudulent, criminal, or illegal and should be stopped, and

(c) if the organization, despite the lawyer's advice, continues with the wrongful conduct, withdraw from acting in the matter in accordance with rule 2.09.

Commentary

The past, present, or proposed misconduct of an organization may have harmful and serious consequences not only for the organization and its constituency but also for the public, who rely on organizations to provide a variety of goods and services. In particular, the misconduct of publicly traded commercial and financial corporations may have serious consequences to the public at large. Rules 2.02 (5.1) and (5.2) address some of the professional responsibilities of a lawyer acting for an organization, which includes a corporation, when he or she learns that the organization has acted, is acting, or proposes to act in a way that is dishonest, fraudulent, criminal or illegal. In addition to these rules, the lawyer may need to consider, for example, the rules and commentary about confidentiality (rule 2.03).

Rules 2.02 (5.1) and (5.2) speak of conduct that is dishonest, fraudulent, criminal or illegal, and this conduct would include acts of omission as well as acts of commission. Indeed, often it is the omissions of an organization, for example, to make required disclosure or to correct inaccurate disclosures that would constitute the wrongful conduct to which these rules relate. Conduct likely to result in substantial harm to the organization, as opposed to genuinely trivial misconduct by an organization, would invoke these rules.

Once a lawyer acting for an organization learns that the organization has acted, is acting, or intends to act in a wrongful manner, then the lawyer may advise the chief executive officer and shall advise the chief legal officer of the misconduct. If the wrongful conduct is not abandoned or stopped, then the lawyer reports the matter “up the ladder” of responsibility within the organization until the matter is dealt with appropriately. If the organization, despite the lawyer’s advice, continues with the wrongful conduct, then the lawyer shall withdraw from acting in the particular matter in accordance with rule 2.09. In some but not all cases, withdrawal would mean resigning from his or her position or relationship with the organization and not simply withdrawing from acting in the particular matter.

These rules recognize that lawyers as the legal advisers to organizations are in a central position to encourage organizations to comply with the law and to advise that it is in the organizations’ and the public’s interest that organizations do not violate the law. Lawyers acting for organizations are often in a position to advise the executive officers of the organization not only about the technicalities of the law but about the public relations and public policy concerns that motivated the government or regulator to enact the law. Moreover, lawyers for organizations, particularly in-house counsel, may guide organizations to act in ways that are legal, ethical, reputable, and consistent with the organization’s responsibilities to its constituents and to the public.

[New – March 2004]

Client Under a Disability

(6) When a client’s ability to make decisions is impaired because of minority, mental disability, or for some other reason, the lawyer shall, as far as reasonably possible, maintain a normal lawyer and client relationship.

Commentary

A lawyer and client relationship presupposes that the client has the requisite mental ability to make decisions about his or her legal affairs and to give the lawyer instructions. A client’s ability to make decisions, however, depends on such factors as his or her age, intelligence, experience, and mental and physical health, and on the advice, guidance, and support of others. Further, a client’s ability to make decisions may change, for better or worse, over time. When a client is or comes to be under a disability that impairs his or her ability to make decisions, the impairment may be minor or it might prevent the client from having the legal capacity to give instructions or to enter into binding legal relationships. Recognizing these factors, the purpose of this rule is to direct a lawyer with a client under a disability to maintain, as far as reasonably possible, a normal lawyer and client relationship.

A lawyer with a client under a disability should appreciate that if the disability of the client is such that the client no longer has the legal capacity to manage his or her legal affairs, the lawyer may need to take steps to have a lawfully authorized representative appointed, for example, a litigation guardian, or to obtain the assistance of the Office of the Public Guardian and Trustee or the Office of the Children's Lawyer to protect the interests of the client. In any event, the lawyer has an ethical obligation to ensure that the client's interests are not abandoned.

A lawyer who is asked to provide legal services under a limited scope retainer to a client under a disability should carefully consider and assess in each case how, under the circumstances, it is possible to render those services in a competent manner.

[Amended – September 2011]

Legal Services Under a Limited Scope Retainer

2.02 (6.1) Before providing legal services under a limited scope retainer, a lawyer shall advise the client honestly and candidly about the nature, extent and scope of the services that the lawyer can provide, and, where appropriate, whether the services can be provided within the financial means of the client.

[New - September 2011]

(6.2) When providing legal services under a limited scope retainer, a lawyer shall confirm the services in writing and give the client a copy of the written document when practicable to do so.

[New - September 2011]

Commentary

Reducing to writing the discussions and agreement with the client about the limited scope retainer assists the lawyer and client in understanding the limitations of the service to be provided and any risks of the retainer. In certain circumstances, such as when the client is in custody, it may not be possible to give him or her a copy of the document. In this type of situation, the lawyer should keep a record of the limited scope retainer in the client file and, when practicable, provide a copy of the document to the client. A lawyer who is providing legal services under a limited scope retainer should be careful to avoid acting such that it appears that the lawyer is providing services to the client under a full retainer.

A lawyer who is providing legal services under a limited scope retainer should consider how communications from opposing counsel in a matter should be managed. See rule 6.03(7.1)

[New - September 2011]

(6.3) Subrule (6.2) does not apply to a lawyer if the legal services are

(a) legal services or summary advice provided as a duty counsel under the *Legal Aid Services Act, 1998* or through any other duty counsel or other advisory program operated by a not-for-profit organization;

- (b) summary advice provided in community legal clinics, student clinics or under the *Legal Aid Services Act, 1998*;
- (c) summary advice provided through a telephone-based service or telephone hotline operated by a community-based or government funded program;
- (d) summary advice provided by the lawyer to a client in the context of an introductory consultation, where the intention is that the consultation, if the client so chooses, would develop into a retainer for legal services for all aspects of the legal matter; or
- (e) *pro bono* summary legal services provided in a non-profit or court-annexed program.

[New - September 2011]

Commentary

The consultation referred to in subrule (6.3)(d) may include advice on preventative, protective, pro-active or procedural measures relating to the client's legal matter, after which the client may agree to retain the lawyer.

[New - September 2011]

Medical-Legal Reports

- (7) A lawyer who receives a medical-legal report from a physician or health professional that is accompanied by a proviso that it not be shown to the client shall return the report immediately to the physician or health professional unless the lawyer has received specific instructions to accept the report on this basis.

Commentary

The lawyer can avoid some of the problems anticipated by the rule by having a full and frank discussion with the physician or health professional, preferably in advance of the preparation of a medical-legal report, which discussion will serve to inform the physician or health professional of the lawyer's obligation respecting disclosure of medical-legal reports to the client.

- (8) A lawyer who receives a medical-legal report from a physician or health professional containing opinions or findings that if disclosed might cause harm or injury to the client shall attempt to dissuade the client from seeing the report, but if the client insists, the lawyer shall produce the report.

- (9) Where a client insists on seeing a medical-legal report about which the lawyer has reservations for the reasons noted in subrule (8), the lawyer shall suggest that the client attend at the office of the physician or health professional to see the report in order that the client will have the benefit of the expertise of the physician or health professional in understanding the significance of the conclusion contained in the medical-legal report.

Title Insurance in Real Estate Conveyancing

(10) A lawyer shall assess all reasonable options to assure title when advising a client about a real estate conveyance and shall advise the client that title insurance is not mandatory and is not the only option available to protect the client's interests in a real estate transaction.

Commentary

A lawyer should advise the client of the options available to protect the client's interests and minimize the client's risks in a real estate transaction. The lawyer should be cognizant of when title insurance may be an appropriate option. Although title insurance is intended to protect the client against title risks, it is not a substitute for a lawyer's services in a real estate transaction.

The lawyer should be knowledgeable about title insurance and discuss with the client the advantages, conditions, and limitations of the various options and coverages generally available to the client through title insurance. Before recommending a specific title insurance product, the lawyer should be knowledgeable about the product and take such training as may be necessary in order to acquire the knowledge.

(11) A lawyer shall not receive any compensation, whether directly or indirectly, from a title insurer, agent or intermediary for recommending a specific title insurance product to his or her client.

(12) A lawyer shall disclose to the client that no commission or fee is being furnished by any insurer, agent, or intermediary to the lawyer with respect to any title insurance coverage.

Commentary

The fiduciary relationship between lawyer and client requires full disclosure in all financial dealings between them and prohibits the acceptance of any hidden fees by the lawyer, including the lawyer's law firm, any employee or associate of the firm, or any related entity.

(13) If discussing TitlePLUS insurance with the client, a lawyer shall fully disclose the relationship between the legal profession, the Society, and the Lawyers' Professional Indemnity Company (LawPRO).

Reporting on Mortgage Transactions

(14) Where a lawyer acts for a lender and the loan is secured by a mortgage on real property, the lawyer shall provide a final report on the transaction, together with the duplicate registered mortgage, to the lender within 60 days of the registration of the mortgage, or within such other time period as instructed by the lender.

(15) The final report required by subrule (14) must be delivered within the times set out in that subrule even if the lawyer has paid funds to satisfy one or more prior encumbrances to ensure the priority of the mortgage as instructed and the lawyer has obtained an undertaking to register a discharge of the encumbrance or encumbrances but the discharge remains unregistered.

[New - February 2007]

2.03 CONFIDENTIALITY**Confidential Information**

2.03 (1) A lawyer at all times shall hold in strict confidence all information concerning the business and affairs of the client acquired in the course of the professional relationship and shall not divulge any such information unless expressly or impliedly authorized by the client or required by law to do so.

Commentary

A lawyer cannot render effective professional service to the client unless there is full and unreserved communication between them. At the same time, the client must feel completely secure and entitled to proceed on the basis that, without any express request or stipulation on the client's part, matters disclosed to or discussed with the lawyer will be held in strict confidence.

This rule must be distinguished from the evidentiary rule of lawyer and client privilege concerning oral or documentary communications passing between the client and the lawyer. The ethical rule is wider and applies without regard to the nature or source of the information or the fact that others may share the knowledge.

A lawyer owes the duty of confidentiality to every client without exception and whether or not the client is a continuing or casual client. The duty survives the professional relationship and continues indefinitely after the lawyer has ceased to act for the client, whether or not differences have arisen between them.

Generally, the lawyer should not disclose having been consulted or retained by a particular person about a particular matter unless the nature of the matter requires such disclosure.

A lawyer should take care to avoid disclosure to one client of confidential information concerning or received from another client and should decline employment that might require such disclosure.

A lawyer should avoid indiscreet conversations, even with the lawyer's spouse or family, about a client's affairs and should shun any gossip about such things even though the client is not named or otherwise identified. Similarly, a lawyer should not repeat any gossip or information about the client's business or affairs that is overheard or recounted to the lawyer. Apart altogether from ethical considerations or questions of good taste, indiscreet shop-talk between lawyers, if overheard by third parties able to identify the matter being discussed, could result in prejudice to the client. Moreover, the respect of the listener for lawyers and the legal profession will probably be lessened.

Although the rule may not apply to facts that are public knowledge, nevertheless, the lawyer should guard against participating in or commenting on speculation concerning the client's affairs or business.

In some situations, the authority of the client to disclose may be implied. For example, some disclosure may be necessary in court proceedings, in a pleading or other court document. Also, it is implied that a lawyer may, unless the client directs otherwise, disclose the client's affairs to partners and associates in the law firm and, to the extent necessary, to non-legal staff, such as secretaries and filing clerks. But this implied authority to disclose places the lawyer under a duty to impress upon associates, employees, and students the importance of non-disclosure (both during their employment and afterwards) and requires the lawyer to take reasonable care to prevent their disclosing or using any information that the lawyer is bound to keep in confidence.

A lawyer may have an obligation to disclose information under subrule 4.06(3)(Security of Court Facilities). If client information is involved in those situations, the lawyer should be guided by the provisions of rule 2.03.

The rule prohibits disclosure of confidential information because confidentiality and loyalty are fundamental to the relationship between a lawyer and client and legal advice cannot be given and justice cannot be done unless clients have a large measure of freedom to discuss their affairs with their lawyers. However, there are some very exceptional situations identified in the following subrules where disclosure without the client's permission might be warranted because the lawyer is satisfied that truly serious harm of the types identified is imminent and cannot otherwise be prevented. These situations will be extremely rare, and, even in these situations, the lawyer should not disclose more information than is required.

Justified or Permitted Disclosure

- (2) When required by law or by order of a tribunal of competent jurisdiction, a lawyer shall disclose confidential information, but the lawyer shall not disclose more information than is required.
- (3) Where a lawyer believes upon reasonable grounds that there is an imminent risk to an identifiable person or group of death or serious bodily harm, including serious psychological harm that substantially interferes with health or well-being, the lawyer may disclose, pursuant to judicial order where practicable, confidential information where it is necessary to do so in order to prevent the death or harm, but shall not disclose more information than is required.

Commentary

A lawyer employed or retained to act for an organization, including a corporation, confronts a difficult problem about confidentiality when he or she becomes aware that the organization may commit a dishonest, fraudulent, criminal, or illegal act. This problem is sometimes described as the problem of whether the lawyer should “blow the whistle” on his or her employer or client. Although the *Rules of Professional Conduct* make it clear that the lawyer shall not knowingly assist or encourage any dishonesty, fraud, crime, or illegal conduct (rule 2.02 (5)) and provide a rule for how a lawyer should respond to conduct by an organization that was, is or may be dishonest, fraudulent, criminal, or illegal (rules 2.02 (5.1) and (5.2)), it does not follow that the lawyer should disclose to the appropriate authorities an employer’s or client’s proposed misconduct. Rather, the general rule, as set out above, is that the lawyer shall hold the client’s information in strict confidence, and this general rule is subject to only a few exceptions. Assuming the exceptions do not apply, there are, however, several steps that a lawyer should take when confronted with the difficult problem of proposed misconduct by an organization. The lawyer should recognise that his or her duties are owed to the organization and not to the officers, employees, or agents of the organization (rule 2.02 (1.1)) and the lawyer should comply with subrules 2.02 (5.1) and (5.2), which set out the steps the lawyer should take in response to proposed, past or continuing misconduct by the organization.

[Amended – March 2004]

- (4) Where it is alleged that a lawyer or the lawyer’s associates or employees are
- (a) guilty of a criminal offence involving a client’s affairs,
 - (b) civilly liable with respect to a matter involving a client’s affairs, or
 - (c) guilty of malpractice or misconduct,

a lawyer may disclose confidential information in order to defend against the allegations, but the lawyer shall not disclose more information than is required.

- (5) A lawyer may disclose confidential information in order to establish or collect the lawyer's fees, but the lawyer shall not disclose more information than is required.

Literary Works

- (6) If a lawyer engages in literary works, such as a memoir or an autobiography, the lawyer shall not disclose confidential information without the client’s or former client’s consent.

Commentary

The fiduciary relationship between lawyer and client forbids the lawyer from using any confidential information covered by the ethical rule for the benefit of the lawyer or a third person or to the disadvantage of the client.

2.04 AVOIDANCE OF CONFLICTS OF INTEREST

Definition

2.04 (1) In this rule

A “conflict of interest” or a “conflicting interest” means an interest

- (a) that would be likely to affect adversely a lawyer's judgment on behalf of, or loyalty to, a client or prospective client, or
- (b) that a lawyer might be prompted to prefer to the interests of a client or prospective client.

Commentary

Conflicting interests include, but are not limited to, the financial interest of a lawyer or an associate of a lawyer, including that which may exist where lawyers have a financial interest in a firm of non-lawyers in an affiliation, and the duties and loyalties of a lawyer to any other client, including the obligation to communicate information. For example, there could be a conflict of interest if a lawyer, or a family member, or a law partner had a personal financial interest in the client’s affairs or in the matter in which the lawyer is requested to act for the client, such as a partnership interest in some joint business venture with the client. The definition of conflict of interest, however, does not capture financial interests that do not compromise a lawyer’s duties to the client. For example, a lawyer owning a small number of shares of a publicly traded corporation would not necessarily have a conflict of interest, because the holding may have no adverse influence on the lawyer’s judgment or loyalty to the client.

Where a lawyer is acting for a friend or family member, the lawyer may have a conflict of interest because the personal relationship may interfere with the lawyer’s duty to provide objective, disinterested professional advice to the client.

[Amended - May 2001, March 2004, October 2004]

Avoidance of Conflicts of Interest

- (2) A lawyer shall not advise or represent more than one side of a dispute.
- (3) A lawyer shall not act or continue to act in a matter when there is or is likely to be a conflicting interest unless, after disclosure adequate to make an informed decision, the client or prospective client consents.

Commentary

A client or the client's affairs may be seriously prejudiced unless the lawyer's judgment and freedom of action on the client's behalf are as free as possible from conflict of interest.

A lawyer should examine whether a conflict of interest exists not only from the outset but throughout the duration of a retainer because new circumstances or information may establish or reveal a conflict of interest.

As important as it is to the client that the lawyer's judgment and freedom of action on the client's behalf should not be subject to other interests, duties, or obligations, in practice this factor may not always be decisive. Instead, it may be only one of several factors that the client will weigh when deciding whether or not to give the consent referred to in the rule. Other factors might include, for example, the availability of another lawyer of comparable expertise and experience, the extra cost, delay and inconvenience involved in engaging another lawyer, and the latter's unfamiliarity with the client and the client's affairs. In some instances, each client's case may gather strength from joint representation. In the result, the client's interests may sometimes be better served by not engaging another lawyer, for example, when the client and another party to a commercial transaction are continuing clients of the same law firm but are regularly represented by different lawyers in that firm.

A conflict of interest may arise when a lawyer acts not only as a legal advisor but in another role for the client. For example, there is a dual role when a lawyer or his or her law firm acts for a public or private corporation and the lawyer serves as a director of the corporation. Lawyers may also serve these dual roles for partnerships, trusts, and other organizations. A dual role may raise a conflict of interest because it may affect the lawyer's independent judgment and fiduciary obligations in either or both roles, it may obscure legal advice from business and practical advice, it may invalidate the protection of lawyer and client privilege, and it has the potential of disqualifying the lawyer or the law firm from acting for the organization. Before accepting a dual role, a lawyer should consider these factors and discuss them with the client. The lawyer should also consider rule 6.04 (Outside Interests and Practice of Law).

If a lawyer has a sexual or intimate personal relationship with a client, this may conflict with the lawyer's duty to provide objective, disinterested professional advice to the client. Before accepting a retainer from or continuing a retainer with a person with whom the lawyer has such a relationship, a lawyer should consider the following factors:

- a. The vulnerability of the client, both emotional and economic;
- b. The fact that the lawyer and client relationship may create a power imbalance in favour of the lawyer or, in some circumstances, in favour of the client;
- c. Whether the sexual or intimate personal relationship will jeopardize the client's right to have all information concerning the client's business and affairs held in strict confidence. For example, the existence of the relationship may obscure whether certain information was acquired in the course of the lawyer and client relationship;
- d. Whether such a relationship may require the lawyer to act as a witness in the proceedings;
- e. Whether such a relationship will interfere in any way with the lawyer's fiduciary obligations to the client, his or her ability to exercise independent professional judgment, or his or her ability to fulfill obligations owed as an officer of the court and to the administration of justice.

There is no conflict of interest if another lawyer of the firm who does not have a sexual or intimate personal relationship with the client is the lawyer handling the client's work.

While subrule 2.04(3) does not require that a lawyer advise the client to obtain independent legal advice about the conflicting interest, in some cases, especially those in which the client is not sophisticated or is vulnerable, the lawyer should recommend such advice to ensure that the client's consent is informed, genuine, and uncoerced.

[Amended – March 2004, October 2004]

Acting Against Client

(4) A lawyer who has acted for a client in a matter shall not thereafter act against the client or against persons who were involved in or associated with the client in that matter

- (a) in the same matter,
- (b) in any related matter, or
- (c) save as provided by subrule (5), in any new matter, if the lawyer has obtained from the other retainer relevant confidential information

unless the client and those involved in or associated with the client consent.

Commentary

It is not improper for the lawyer to act against a client in a fresh and independent matter wholly unrelated to any work the lawyer has previously done for that person and where previously obtained confidential information is irrelevant to that matter.

(5) Where a lawyer has acted for a former client and obtained confidential information relevant to a new matter, the lawyer's partner or associate may act in the new matter against the former client if

- (a) the former client consents to the lawyer's partner or associate acting, or
- (b) the law firm establishes that it is in the interests of justice that it act in the new matter, having regard to all relevant circumstances, including
 - (i) the adequacy and timing of the measures taken to ensure that no disclosure of the former client's confidential information to the partner or associate having carriage of the new matter will occur,
 - (ii) the extent of prejudice to any party,
 - (iii) the good faith of the parties,
 - (iv) the availability of suitable alternative counsel, and
 - (v) issues affecting the public interest.

Commentary

The term “client” is defined in rule 1.02 to include a client of the law firm of which the lawyer is a partner or associate, whether or not the lawyer handles the client's work. Therefore, if a member of a law firm has obtained from a former client confidential information that is relevant to a new matter, no member of the law firm may act against the former client in the new matter unless the requirements of subrule (5) have been satisfied. In its effect, subrule (5) extends with necessary modifications the rules and guidelines about conflicts arising from a lawyer transfer between law firms (rule 2.05) to the situation of a law firm acting against a former client.

Joint Retainer

(6) Except as provided in subrule (8.2), where a lawyer accepts employment from more than one client in a matter or transaction, the lawyer shall advise the clients that

- (a) the lawyer has been asked to act for both or all of them,
- (b) no information received in connection with the matter from one can be treated as confidential so far as any of the others are concerned, and
- (c) if a conflict develops that cannot be resolved, the lawyer cannot continue to act for both or all of them and may have to withdraw completely.

[Amended – February 2007]

Commentary

Although this subrule does not require that, before accepting a joint retainer, a lawyer advise the client to obtain independent legal advice about the joint retainer, in some cases, especially those in which one of the clients is less sophisticated or more vulnerable than the other, the lawyer should recommend such advice to ensure that the client's consent to the joint retainer is informed, genuine, and uncoerced.

A lawyer who receives instructions from spouses or partners as defined in the *Substitute Decisions Act, 1992* S.O. 1992 c. 30 to prepare one or more wills for them based on their shared understanding of what is to be in each will should treat the matter as a joint retainer and comply with subrule (6). Further, at the outset of this joint retainer, the lawyer should advise the spouses or partners that if subsequently only one of them were to communicate new instructions, for example, instructions to change or revoke a will:

- (a) the subsequent communication would be treated as a request for a new retainer and not as part of the joint retainer;
- (b) in accordance with rule 2.03, the lawyer would be obliged to hold the subsequent communication in strict confidence and not disclose it to the other spouse or partner; but
- (c) the lawyer would have a duty to decline the new retainer, unless;

- (i) the spouses or partners had annulled their marriage, divorced, permanently ended their conjugal relationship, or permanently ended their close personal relationship, as the case may be;
- (ii) the other spouse or partner had died; or
- (iii) the other spouse or partner was informed of the subsequent communication and agreed to the lawyer acting on the new instructions.

After advising the spouses or partners in the manner described above, the lawyer should obtain their consent to act in accordance with subrule (8).

[Amended – February, 2005]

(6.1) Where a lawyer acts for both the borrower and the lender in a mortgage or loan transaction, the lawyer shall disclose to the borrower and the lender, in writing, before the advance or release of the mortgage or loan funds, all material information that is relevant to the transaction.

Commentary

What is material is to be determined objectively. Material information would be facts that would be perceived objectively as relevant by any reasonable lender or borrower. An example is a price escalation or “flip” where a property is re-transferred or re-sold on the same day or within a short time period for a significantly higher price. The duty to disclose arises even if the lender or the borrower does not ask for the specific information.

[New – February 2007]

(7) Except as provided in subrule (8.2), where a lawyer has a continuing relationship with a client for whom the lawyer acts regularly, before the lawyer accepts joint employment for that client and another client in a matter or transaction, the lawyer shall advise the other client of the continuing relationship and recommend that the client obtain independent legal advice about the joint retainer.

[Amended – February 2007]

Commentary

Although all the parties concerned may consent, a lawyer should avoid acting for more than one client when it is likely that an issue contentious between them will arise or their interests, rights, or obligations will diverge as the matter progresses.

(8) Except as provided in subrule (8.2), where a lawyer has advised the clients as provided under subrules (6) and (7) and the parties are content that the lawyer act, the lawyer shall obtain their consent.

[Amended – February 2007]

(8.1) In subrule (8.2), "lending client" means a client that is a bank, trust company, insurance company, credit union or finance company that lends money in the ordinary course of its business.

(8.2) If a lawyer is jointly retained by a client and by a lending client in respect of a mortgage or loan from the lending client to that client, including any guarantee of that mortgage or loan, the lending client's consent is deemed to exist upon the lawyer's receipt of written instructions from the lending client to act and the lawyer is not required to

- (a) provide the advice described in subrule (6) to the lending client before accepting the employment,
- (b) provide the advice described in subrule (7) if the lending client is the other client as described in that subrule, or
- (c) obtain the consent of the lending client as described in subrule (8), including confirming the lending client's consent in writing, unless the lending client requires that its consent be reduced to writing.

Commentary

Subrules (8.1) and (8.2) are intended to simplify the advice and consent process between a lawyer and institutional lender clients. Such clients are generally sophisticated. Their acknowledgement of the terms of and consent to the joint retainer is usually confirmed in the documentation of the transaction (e.g. mortgage loan instructions) and the consent is generally deemed by such clients to exist when the lawyer is requested to act.

Subrule (8.2) applies to all loans where a lawyer is acting jointly for both the lending client and another client regardless of the purpose of the loan, including, without restriction, mortgage loans, business loans and personal loans. It also applies where there is a guarantee of such a loan.

[New – February 2007]

(9) Save as provided by subrule (10), where clients have consented to a joint retainer and an issue contentious between them or some of them arises, the lawyer shall

- (a) not advise them on the contentious issue, and
- (b) refer the clients to other lawyers, unless
 - (i) no legal advice is required, and
 - (ii) the clients are sophisticated,

in which case, the clients may settle the contentious issue by direct negotiation in which the lawyer does not participate.

Commentary

The rule does not prevent a lawyer from arbitrating or settling or attempting to arbitrate or settle, a dispute between two or more clients or former clients who are not under any legal disability and who wish to submit the dispute to the lawyer. Where, after the clients have consented to a joint retainer, an issue contentious between them or some of them arises, the lawyer is not necessarily precluded from advising them on non-contentious matters.

(10) Where clients consent to a joint retainer and also agree that if a contentious issue arises the lawyer may continue to advise one of them and a contentious issue does arise, the lawyer may advise the one client about the contentious matter and shall refer the other or others to another lawyer.

Affiliations Between Lawyers and Affiliated Entities

(10.1) Where there is an affiliation, before accepting a retainer to provide legal services to a client jointly with non-legal services of an affiliated entity, a lawyer shall disclose to the client

- (a) any possible loss of solicitor and client privilege because of the involvement of the affiliated entity, including circumstances where a non-lawyer or non-lawyer staff of the affiliated entity provide services, including support services, in the lawyer's office,
- (b) the lawyer's role in providing legal services and in providing non-legal services or in providing both legal and non-legal services, as the case may be,
- (c) any financial, economic or other arrangements between the lawyer and the affiliated entity that may affect the independence of the lawyer's representation of the client, including whether the lawyer shares in the revenues, profits or cash flows of the affiliated entity; and
- (d) agreements between the lawyer and the affiliated entity, such as agreements with respect to referral of clients between the lawyer and the affiliated entity, that may affect the independence of the lawyer's representation of the client.

(10.2) Where there is an affiliation, after making the disclosure as required by subrule (10.1), a lawyer shall obtain the client's consent before accepting a retainer under subrule (10.1).

(10.3) Where there is an affiliation, a lawyer shall establish a system to search for conflicts of interest of the affiliation.

Commentary

Lawyers practising in an affiliation are required to control the practice through which they deliver legal services to the public. They are also required to address conflicts of interest in respect of a proposed retainer by a client as if the lawyer's practice and the practice of the affiliated entity were one where the lawyers accept a retainer to provide legal services to that client jointly with non-legal services of the affiliated entity. The affiliation is subject to the same conflict of interest rules as apply to lawyers and law firms. This obligation may extend to inquiries of offices of affiliated entities outside of Ontario where those offices are treated economically as part of a single affiliated entity.

In reference to clause (a) of subrule (10.1), see also subsection 3(2) of By-Law 7.1 (Operational Obligations and Responsibilities).

[Amended – January 2008]

Prohibition Against Acting for Borrower and Lender

(11) Subject to subrule (12), a lawyer or two or more lawyers practising in partnership or association shall not act for or otherwise represent both lender and borrower in a mortgage or loan transaction.

(12) Provided that there is no violation of this rule, a lawyer may act for or otherwise represent both lender and borrower in a mortgage or loan transaction if

- (a) the lawyer practises in a remote location where there are no other lawyers that either party could conveniently retain for the mortgage or loan transaction,
- (b) the lender is selling real property to the borrower and the mortgage represents part of the purchase price,
- (c) the lender is a bank, trust company, insurance company, credit union or finance company that lends money in the ordinary course of its business,
- (d) the consideration for the mortgage or loan does not exceed \$50,000, or
- (e) the lender and borrower are not at “arm’s length” as defined in the *Income Tax Act (Canada)*.

[Amended - May 2001]

Multi-discipline Practice

(13) A lawyer in a multi-discipline practice shall ensure that non-licensee partners and associates observe this rule for the legal practice and for any other business or professional undertaking carried on by them outside the legal practice.

[Amended - June 2009]

Unrepresented Persons

- (14) When a lawyer is dealing on a client's behalf with an unrepresented person, the lawyer shall
- (a) urge the unrepresented person to obtain independent legal representation,
 - (b) take care to see that the unrepresented person is not proceeding under the impression that his or her interests will be protected by the lawyer, and
 - (c) make clear to the unrepresented person that the lawyer is acting exclusively in the interests of the client and accordingly his or her comments may be partisan.

Short-term limited legal services

- (15) In this subrule and subrules (16) to (19)

“*pro bono* client” means a client to whom a lawyer provides short-term limited legal services;

“short-term limited legal services” means *pro bono* summary legal services provided by a lawyer to a client under the auspices of Pro Bono Law Ontario's Law Help Ontario program for matters in the Superior Court of Justice or in Small Claims Court, with the expectation by the lawyer and the client that the lawyer will not provide continuing legal representation in the matter.

- (16) A lawyer engaged in the provision of short-term limited legal services may provide legal services to a *pro bono* client unless
- (a) the lawyer knows or becomes aware that the interests of the *pro bono* client are directly adverse to the immediate interests of another current client of the lawyer, the lawyer's firm or Pro Bono Law Ontario; or
 - (b) the lawyer has or, while providing the short-term limited legal services, obtains confidential information relevant to a matter involving a current or former client of the lawyer, the lawyer's firm or Pro Bono Law Ontario whose interests are adverse to those of the *pro bono* client.

(17) A lawyer who is a partner, an associate, an employee or an employer of a lawyer providing short-term limited legal services to a *pro bono* client may act for other clients of the law firm whose interests are adverse to the *pro bono* client so long as adequate and timely measures are in place to ensure that no disclosure of the *pro bono* client's confidential information is made to the lawyer acting for the other clients.

(18) A lawyer who is unable to provide short-term limited legal services to a *pro bono* client because of the operation of subrule (16) (a) or (b) shall cease to provide short term limited legal services to the *pro bono* client as soon as the lawyer actually becomes aware of the adverse interest or as soon as he or she has or obtains the confidential information referred to in subrule (16) and the lawyer shall not seek the *pro bono* client's waiver of the conflict.

- (19) In providing short-term limited legal services, a lawyer shall
- (a) ensure, before providing the legal services, that the appropriate disclosure of the nature of the legal services has been made to the client; and
 - (b) determine whether the client may require additional legal services beyond the short-term limited legal services and if additional services are required or advisable, encourage the client to seek further legal assistance.

Commentary

Short term limited legal service programs are usually offered in circumstances in which it may be difficult to systematically screen for conflicts of interest in a timely way, despite the best efforts and existing practices and procedures of Pro Bono Law Ontario (PBLO) and the lawyers and law firms who provide these services. Performing a full conflicts screening in circumstances in which the *pro bono* services described in subrule (15) are being offered can be very challenging given the timelines, volume and logistics of the setting in which the services are provided. The time required to screen for conflicts may mean that qualifying individuals for whom these brief legal services are available are denied access to legal assistance.

Subrules (15) to (19) apply in circumstances in which the limited nature of the legal services being provided by a lawyer significantly reduces the risk of conflicts of interest with other matters being handled by the lawyer's firm. Accordingly, the lawyer is disqualified from acting for a client receiving short-term limited legal services only if the lawyer has actual knowledge of a conflict of interest between the *pro bono* client and an existing or former client of the lawyer, the lawyer's firm or PBLO. For example, a conflict of interest of which the lawyer has no actual knowledge but which is imputed to the lawyer because of the lawyer's membership in or association or employment with a firm would not preclude the lawyer from representing the client seeking short-term limited legal services.

The lawyer's knowledge would be based on the lawyer's reasonable recollection and information provided by the client in the ordinary course of the consultation and in the client's application to PBLO for legal assistance.

The personal disqualification of a lawyer participating in PBLO's program does not create a conflict for the other lawyers participating in the program, as the conflict is not imputed to them.

Confidential information obtained by a lawyer representing a *pro bono* client, as defined in subrule (15), will not be imputed to the lawyer's licensee partners, associates and employees or non-licensee partners or associates in a multi-discipline partnership. As such, these individuals may continue to act for another client adverse in interest to the *pro bono* client who is obtaining or has obtained short-term limited legal services, and may act in future for another client adverse in interest to the *pro bono* client who is obtaining or has obtained short-term limited legal services.

Appropriate screening measures must be in place to prevent disclosure of confidential information relating to the client to the lawyer's partners, associates, employees or employer (in the practice of law). Subrule (17) extends, with necessary modifications, the rules and guidelines about conflicts arising from a lawyer transfer between law firms (rule 2.05) to the situation of a law firm acting against a current client of the firm in providing short term limited legal services. Measures that the lawyer providing the short-term limited legal services should take to ensure the confidentiality of information of the client's information include:

- having no involvement in the representation of or any discussions with others in the firm about another client whose interests conflict with those of the *pro bono* client;
- identifying relevant files, if any, of the *pro bono* client and physically segregating access to them to those working on the file or who require access for specifically identified or approved reasons; and
- ensuring that the firm has distributed a written policy to all licensees, non-licensure partners and associates and support staff, explaining the screening measures that are in place.

Subrule (18) precludes a lawyer from obtaining a waiver in respect of conflicts of interest that arise in providing short-term legal services.

[New – April 22, 2010]

2.04.1 LAWYERS ACTING FOR TRANSFEROR AND TRANSFEREE IN TRANSFERS OF TITLE

2.04.1 (1) Subject to subrule (3), an individual lawyer shall not act for or otherwise represent both the transferor and the transferee in a transfer of title to real property.

(2) Subrule (1) does not prevent a law firm of two or more lawyers from acting for or otherwise representing a transferor and a transferee in a transfer of title to real property so long as the transferor and transferee are represented by different lawyers in the firm and there is no violation of rule 2.04.

(3) So long as there is no violation of rule 2.04, an individual lawyer may act for or otherwise represent both the transferor and the transferee in a transfer of title to real property if

(a) the Land Registration Reform Act permits the lawyer to sign the transfer on behalf of the transferor and the transferee,

(b) the transferor and transferee are “related persons” as defined in section 251 of the Income Tax Act (Canada), or

(c) the lawyer practices law in a remote location where there are no other lawyers that either the transferor or the transferee could without undue inconvenience retain for the transfer

[Effective March 31, 2008]

2.05 CONFLICTS FROM TRANSFER BETWEEN LAW FIRMS

Definitions

2.05 (1) In this rule

“client” includes anyone to whom a lawyer owes a duty of confidentiality, whether or not a solicitor-client relationship exists between them,

[Amended - June 2007]

“confidential information” means information obtained from a client that is not generally known to the public, and

Commentary

The duties imposed by this rule concerning confidential information should be distinguished from the general ethical duty to hold in strict confidence all information concerning the business and affairs of the client acquired in the course of the professional relationship, which duty applies without regard to the nature or source of the information or to the fact that others may share the knowledge.

“matter” means a case or client file but does not include general “know-how” and, in the case of a government lawyer, does not include policy advice unless the advice relates to a particular case.

Application of Rule

(2) This rule applies where a lawyer transfers from one law firm (“former law firm”) to another (“new law firm”), and either the transferring lawyer or the new law firm is aware at the time of the transfer or later discovers that

- (a) the new law firm represents a client in a matter that is the same as or related to a matter in which the former law firm represents its client (“former client”),
- (b) the interests of those clients in that matter conflict, and
- (c) the transferring lawyer actually possesses relevant information respecting that matter.

(3) Subrules (4) to (7) do not apply to a lawyer employed by the federal, a provincial, or a territorial Attorney General or Department of Justice who, after transferring from one department, ministry, or agency to another, continues to be employed by that Attorney General or Department of Justice.

Commentary

The purpose of the rule is to deal with actual knowledge. Imputed knowledge does not give rise to disqualification.

Lawyers and support staff - This rule is intended to regulate lawyers and articled students who transfer between law firms. It also imposes a general duty on lawyers to exercise due diligence in the supervision of non-lawyer staff, to ensure that they comply with the rule and with the duty not to disclose confidences of clients of the lawyer's firm and confidences of clients of other law firms in which the person has worked.

Government employees and in-house counsel - The definition of "law firm" includes one or more lawyers practising in a government, a Crown corporation, any other public body, and a corporation. Thus, the rule applies to lawyers transferring to or from government service and into or out of an in-house counsel position, but does not extend to purely internal transfers in which, after transfer, the employer remains the same.

Law firms with multiple offices - The rule treats as one "law firm" such entities as the various legal services units of a government, a corporation with separate regional legal departments, an inter-provincial law firm, and a legal aid program with many community law offices. The more autonomous each unit or office is, the easier it should be, in the event of a conflict, for the new firm to obtain the former client's consent or to establish that it is in the public interest that it continue to represent its client in the matter.

[Amended – June 2007]

Law Firm Disqualification

(4) Where the transferring lawyer actually possesses relevant information respecting the former client that is confidential and that, if disclosed to a member of the new law firm, may prejudice the former client, the new law firm shall cease its representation of its client in that matter unless

[Amended – June 2007]

- (a) the former client consents to the new law firm's continued representation of its client, or
- (b) the new law firm establishes that it is in the interests of justice that it act in the matter, having regard to all relevant circumstances, including,
 - (i) the adequacy and timing of the measures taken to ensure that no disclosure to any member of the new law firm of the former client's confidential information will occur,
 - (ii) the extent of prejudice to any party,
 - (iii) the good faith of the parties,
 - (iv) the availability of suitable alternative counsel, and

- (v) issues affecting the public interest.

Commentary

The circumstances enumerated in subrule (4)(b) are drafted in broad terms to ensure that all relevant facts will be taken into account. While clauses (ii) to (iv) are self-explanatory, clause (v) addresses governmental concerns respecting issues of national security, cabinet confidences, and obligations incumbent on Attorneys General and their agents in the administration of justice.

(5) For greater certainty, subrule (4) is not intended to interfere with the discharge by an Attorney General or his or her counsel or agent (including those occupying the offices of Crown Attorney, Assistant Crown Attorney, or part-time Assistant Crown Attorney) of their constitutional and statutory duties and responsibilities.

(6) Where the transferring lawyer actually possesses relevant information respecting the former client but that information is not confidential information which, if disclosed to a member of the new law firm, may prejudice the former client,

- (a) the lawyer shall execute an affidavit or solemn declaration to that effect, and
- (b) the new law firm shall
 - (i) notify its client and the former client, or if the former client is represented in that matter by a lawyer, notify that lawyer of the relevant circumstances and its intended action under this rule, and
 - (ii) deliver to the persons referred to in (i) a copy of any affidavit or solemn declaration executed under (a).

[Amended - June 2007]

Transferring Lawyer Disqualification

(7) A transferring lawyer described in the opening clause of subrule (4) or (6) shall not, unless the former client consents,

- (a) participate in any manner in the new law firm's representation of its client in that matter, or
- (b) disclose any confidential information respecting the former client.

[Amended - June 2007]

(8) No member of the new law firm shall, unless the former client consents, discuss with a transferring lawyer described in the opening clause of subrule (4) or (6) the new law firm's representation of its client or the former law firm's representation of the former client in that matter.

[Amended - June 2007]

Determination of Compliance

(9) Anyone who has an interest in, or who represents a party in, a matter referred to in this rule may apply to a tribunal of competent jurisdiction for a determination of any aspect of this rule.

Due Diligence

(10) A lawyer shall exercise due diligence in ensuring that each member and employee of the lawyer’s law firm, each non-lawyer partner and associate, and each other person whose services the lawyer has retained

[Amended - June 2007]

- (a) complies with this rule, and
- (b) does not disclose
 - (i) confidential information of clients of the firm, and
 - (ii) confidential information of clients of another law firm in which the person has worked.

Commentary

MATTERS TO CONSIDER

When a law firm considers hiring a lawyer or articulated student (“transferring lawyer”) from another law firm, the transferring lawyer and the new law firm need to determine, before the transfer, whether any conflicts of interest will be created. Conflicts can arise with respect to clients of the law firm that the transferring lawyer is leaving and with respect to clients of a firm in which the transferring lawyer worked at some earlier time. The transferring lawyer and the new law firm need to identify, first, all cases in which

- (a) the new law firm represents a client in a matter that is the same as or related to a matter in respect of which the former law firm represents its client,
- (b) the interests of these clients in that matter conflict, and
- (c) the transferring lawyer actually possesses relevant information respecting that matter.

[Amended – June 2007]

The law firm must then determine whether, in each such case, the transferring lawyer actually possesses relevant information respecting the former client that is confidential and that, if disclosed to a member of the new law firm, may prejudice the former client. If this element exists, the new law firm is disqualified unless the former client consents or the new law firm establishes that its continued representation is in the interests of justice, based on relevant circumstances.

[Amended - June 2007]

In determining whether the transferring lawyer possesses confidential information, both the transferring lawyer and the new law firm need to be very careful to ensure that they do not, during the interview process itself, disclose client confidences.

MATTERS TO CONSIDER BEFORE HIRING A POTENTIAL TRANSFEREE

After completing the interview process and before hiring the transferring lawyer, the new law firm should determine whether a conflict exists.

A. Where a conflict does exist

If the new law firm concludes that the transferring lawyer does actually possess relevant information respecting a former client that is confidential and that, if disclosed to a member of the new law firm, may prejudice the former client if the transferring lawyer is hired, the new law firm will be prohibited from continuing to represent its client in the matter unless

(a) the new law firm obtains the former client's consent to its continued representation of its client in that matter, or

(b) the new law firm complies with subrule (4)(b), and, in determining whether continued representation is in the interests of justice, both clients' interests are the paramount consideration.

If the new law firm seeks the former client's consent to the new law firm continuing to act, it will in all likelihood be required to satisfy the former client that it has taken reasonable measures to ensure that no disclosure to any member of the new law firm of the former client's confidential information will occur. The former client's consent must be obtained before the transferring lawyer is hired.

Alternatively, if the new law firm applies under subrule (9) for a determination that it may continue to act, it bears the onus of establishing the matters referred to in subrule (4)(b). Ideally, this process should be completed before the transferring person is hired.

[Amended – June 2007]

B. Where no conflict exists

Although subrule 2.05(6) does not require that the notice required by that subrule be in writing, it would be prudent for the new law firm to confirm these matters in writing. Written notification eliminates any later dispute about whether notice has been given and about its timeliness and content.

The new law firm might, for example, seek the former client's consent to the transferring lawyer acting for the new law firm's client in the matter because, in the absence of such consent, the transferring lawyer may not act.

If the former client does not consent to the transferring lawyer acting, it would be prudent for the new law firm to take reasonable measures to ensure that no disclosure will occur to any member of the new law firm of the former client's confidential information. If such measures are taken, it will strengthen the new law firm's position if it is later determined that the transferring lawyer did in fact possess confidential information which, if disclosed, may prejudice the former client.

A transferring lawyer who possesses no such confidential information puts the former client on notice by executing an affidavit or solemn declaration and delivering it to the former client. A former client who disputes the allegation of no such confidential information may apply under subrule (9) for a determination of that issue.

C. Where the new law firm is not sure whether a conflict exists

There may be some cases where the new law firm is not sure whether the transferring lawyer actually possesses confidential information respecting a former client that, if disclosed to a member of the new law firm, may prejudice the former client. In such circumstances, it would be prudent for the new law firm to seek guidance from the Society before hiring the transferring lawyer.

REASONABLE MEASURES TO ENSURE NON-DISCLOSURE OF CONFIDENTIAL INFORMATION

As noted above, there are two circumstances in which the new law firm should consider the implementation of reasonable measures to ensure that no disclosure will occur to any member of the new law firm of the former client's confidential information:

(a) where the transferring lawyer actually possesses confidential information respecting a former client that, if disclosed to a member of the new law firm, may prejudice the former client, and

[Amended – June 2007]

(b) where the new law firm is not sure whether the transferring lawyer actually possesses such confidential information, but it wants to strengthen its position if it is later determined that the transferring lawyer did in fact possess such confidential information.

It is not possible to offer a set of “reasonable measures” that will be appropriate or adequate in every case. Instead, the new law firm that seeks to implement reasonable measures must exercise professional judgment in determining what steps must be taken “to ensure that no disclosure will occur to any member of the new law firm of the former client's confidential information.”

In the case of law firms with multiple offices, the degree of autonomy possessed by each office will be an important factor in determining what constitutes “reasonable measures.” For example, the various legal services units of a government, a corporation with separate regional legal departments, an inter-provincial law firm, or a legal aid program may be able to demonstrate that, because of its institutional structure, reporting relationships, function, nature of work, and geography, relatively fewer “measures” are necessary to ensure the non-disclosure of client confidences. If it can be shown that, because of factors such as the above, lawyers in separate units, offices, or departments do not “work together” with other lawyers in other units, offices or departments, this shall be taken into account in the determination of what screening measures are “reasonable.”

The guidelines at the end of this Commentary, adapted from the Canadian Bar Association's Task Force report entitled *Conflict of Interest Disqualification: Martin v. Gray and Screening Methods* (February 1993), are intended as a checklist of relevant factors to be considered. Adoption of only some of the guidelines may be adequate in some cases, while adoption of them all may not be sufficient in others.

In cases where a transferring lawyer joining a government legal services unit or the legal department of a corporation actually possesses confidential information respecting a former client that, if disclosed to a member of the new “law firm,” may prejudice the former client, the interests of the new client (Her Majesty or the corporation) must continue to be represented. Normally, this will be effected by instituting satisfactory screening measures, which could include referring the conduct of the matter to counsel in a different department, office or legal services unit. As each factual situation will be unique, flexibility will be required in the application of subrule (4)(b), particularly clause (v). Only in those situations where the entire firm must be disqualified pursuant to subrule (4) will it be necessary to refer conduct of the matter to outside counsel.

GUIDELINES

1. The screened lawyer should have no involvement in the new law firm's representation of its client.

[Amended – June 2007]

2. The screened lawyer should not discuss the current matter or any information relating to the representation of the former client (the two may be identical) with anyone else in the new law firm.
3. No member of the new law firm should discuss the current matter or the previous representation with the screened lawyer.
4. The current matter should be discussed only within the limited group that is working on the matter.
5. The files of the current client, including computer files, should be physically segregated from the new law firm's regular filing system, specifically identified, and accessible only to those lawyers and support staff in the new law firm who are working on the matter or who require access for other specifically identified and approved reasons.
6. No member of the new law firm should show the screened lawyer any documents relating to the current representation.
7. The measures taken by the new law firm to screen the transferring lawyer should be stated in a written policy explained to all lawyers and support staff within the firm, supported by an admonition that violation of the policy will result in sanctions, up to and including dismissal.
8. Undertakings should be provided by the appropriate law firm members setting out that they have adhered to and will continue to adhere to all elements of the screen.
9. The former client, or if the former client is represented in that matter by a lawyer, that lawyer, should be advised
 - (a) that the screened lawyer is now with the new law firm, which represents the current client, and
 - (b) of the measures adopted by the new law firm to ensure that there will be no disclosure of confidential information.

10. The screened lawyer's office or work station and that of the lawyer's support staff should be located away from the offices or work stations of lawyers and support staff working on the matter.

11. The screened lawyer should use associates and support staff different from those working on the current matter.

12. In the case of law firms with multiple offices, consideration should be given to referring conduct of the matter to counsel in another office.

[Amended – June 2007]

2.06 DOING BUSINESS WITH A CLIENT

Definitions

2.06 (1) In this rule

“related persons” means related persons as defined in the *Income Tax Act (Canada)* and “related person” has a corresponding meaning, and

“syndicated mortgage” means a mortgage having more than one investor.

Investment by Client where Lawyer has an Interest

(2) Subject to subrule (2.1), where a client intends to enter into a transaction with his or her lawyer or with a corporation or other entity in which the lawyer has an interest other than a corporation or other entity whose securities are publicly traded, the lawyer, before accepting any retainer

(a) shall disclose and explain the nature of the conflicting interest to the client or, in the case of a potential conflict, how and why it might develop later,

(b) shall recommend independent legal representation and shall require that the client receive independent legal advice, and

(c) where the client requests the lawyer to act, the lawyer shall obtain the client's written consent.

[Amended – May 2001]

(2.1) When a client intends to pay for legal services by transferring to his, her or its lawyer a share, participation or other interest in property or in an enterprise, other than a non-material interest in a publicly traded enterprise, the lawyer shall recommend but need not require that the client receive independent legal advice before accepting a retainer.

[New – May 2001; Amended – March 2004]

Commentary

If the lawyer does not choose to make disclosure of the conflicting interest or cannot do so without breaching a confidence, the lawyer must decline the retainer.

The lawyer should not uncritically accept the client's decision to have the lawyer act. It should be borne in mind that, if the lawyer accepts the retainer, the lawyer's first duty will be to the client. If the lawyer has any misgivings about being able to place the client's interests first, the retainer should be declined.

Generally, in disciplinary proceedings under this rule, the burden will rest upon the lawyer to show good faith, that adequate disclosure was made in the matter, and that the client's consent was obtained.

If the investment is by borrowing from the client, the transaction may fall within the requirements of subrules 2.06(4) or (6).

Certificate of Independent Legal Advice

(3) A lawyer retained to give independent legal advice shall, before any advance of funds has been made by the client,

- (a) provide the client with a written certificate that the client has received independent legal advice, and
- (b) obtain the client's signature on a copy of the certificate of independent legal advice and send the signed copy to the lawyer with whom the client proposes to transact business.

Borrowing from Clients

(4) A lawyer shall not borrow money from a client unless

- (a) the client is a lending institution, financial institution, insurance company, trust company or any similar corporation whose business includes lending money to members of the public, or
- (b) the client is a related person as defined by the Income Tax Act (Canada) and the lawyer is able to discharge the onus of proving that the client's interests were fully protected by the nature of the case and by independent legal advice or independent legal representation.

Commentary

The relationship between lawyer and client is a fiduciary one, and no conflict between the lawyer's own interest and the lawyer's duty to the client can be permitted.

Whether a person lending money to a lawyer on that person's own account or investing money in a security in which the lawyer has an interest is to be considered a client within this rule is to be determined having regard to all circumstances. If the circumstances are such that the lender or investor might reasonably feel entitled to look to the lawyer for guidance and advice in respect of the loan or investment, the lawyer will be considered bound by the same fiduciary obligation that attaches to a lawyer in dealings with a client.

(5) In any transaction, other than a transaction within the provisions of subrule (4), in which money is borrowed from a client by a lawyer's spouse or by a corporation, syndicate, or partnership in which either the lawyer or the lawyer's spouse has, or both of them together have, directly or indirectly, a substantial interest, the lawyer shall ensure that the client's interests are fully protected by the nature of the case and by independent legal representation.

Lawyers in Loan or Mortgage Transactions

(6) A lawyer engaged in the private practice of law in Ontario shall not directly, or indirectly through a corporation, syndicate, partnership, trust, or other entity in which the lawyer or a related person has a financial interest, other than an ownership interest of a corporation or other entity offering its securities to the public of less than five per cent (5%) of any class of securities

- (a) hold a syndicated mortgage or loan in trust for investor clients unless each investor client receives
 - (i) a complete reporting letter on the transaction,
 - (ii) a trust declaration signed by the person in whose name the mortgage or any security instrument is registered, and
 - (iii) a copy of the duplicate registered mortgage or security instrument,
- (b) arrange or recommend the participation of a client or other person as an investor in a syndicated mortgage or loan where the lawyer is an investor unless the lawyer can demonstrate that the client or other person had independent legal advice in making the investment, or
- (c) sell mortgages or loans to, or arrange mortgages or loans for, clients or other persons except in accordance with the skill, competence, and integrity usually expected of a lawyer in dealing with clients.

Commentary

ACCEPTABLE MORTGAGE OR LOAN TRANSACTIONS

A lawyer may engage in the following mortgage or loan transactions in connection with the practice of law:

(a) a lawyer may invest in mortgages or loans personally or on behalf of a related person or a combination thereof,

(b) a lawyer may deal in mortgages or loans as an executor, administrator, committee, trustee of a testamentary or inter vivos trust established for purposes other than mortgage or loan investment or under a power of attorney given for purposes other than exclusively for mortgage or loan investment, and

(c) a lawyer may collect, on behalf of clients, mortgage or loan payments that are made payable in the name of the lawyer under a written direction to that effect given by the client to the mortgagor or borrower provided that such payments are deposited into the lawyer's trust account.

A lawyer may introduce a borrower (whether or not a client) to a lender (whether or not a client) and the lawyer may then act for either, and when subrule 2.04 (12) applies, the lawyer may act for both.

Disclosure

(7) Where a lawyer sells or arranges mortgages for clients or other persons, the lawyer shall disclose in writing to each client or other person the priority of the mortgage and all other information relevant to the transaction that is known to the lawyer that would be of concern to a proposed investor.

No Advertising

(8) A lawyer shall not promote, by advertising or otherwise, individual or joint investment by clients or other persons who have money to lend, in any mortgage in which a financial interest is held by the lawyer, a related person, or a corporation, syndicate, partnership, trust or other entity in which the lawyer or related person has a financial interest, other than an ownership interest of a corporation or other entity offering its securities to the public of less than five per cent (5%) of any class of securities.

Guarantees by a Lawyer

(9) Except as provided by subrule (10), a lawyer shall not guarantee personally, or otherwise provide security for, any indebtedness in respect of which a client is a borrower or lender.

(10) A lawyer may give a personal guarantee in the following circumstances:

(a) the lender is a lending institution, financial institution, insurance company, trust company or any similar corporation whose business includes lending money to members of the public, and the lender is directly or indirectly providing funds solely for the lawyer, the lawyer's spouse, parent, or child,

(b) the transaction is for the benefit of a non-profit or charitable institution where the lawyer as a member or supporter of such institution is asked, either individually or together with other members or supporters of the institution, to provide a guarantee, or

- (c) the lawyer has entered into a business venture with a client and the lender requires personal guarantees from all participants in the venture as a matter of course and
 - (i) the lawyer has complied with rule 2.04 (Avoidance of Conflicts of Interest) and this rule (Doing Business with a Client), and
 - (ii) the lender and participants in the venture who are or were clients of the lawyer have received independent legal representation.

[Amended - June 2007]

2.07 PRESERVATION OF CLIENT'S PROPERTY

Preservation of Client's Property

2.07 (1) A lawyer shall care for a client's property as a careful and prudent owner would when dealing with like property and shall observe all relevant rules and law about the preservation of a client's property entrusted to a lawyer.

Commentary

The duties concerning safekeeping, preserving, and accounting for clients' monies and other property are set out in the by-laws made under the *Law Society Act*.

These duties are closely related to those regarding confidential information. The lawyer should keep the client's papers and other property out of sight as well as out of reach of those not entitled to see them and should, subject to any rights of lien, promptly return them to the client upon request or at the conclusion of the lawyer's retainer.

Notification of Receipt of Property

(2) A lawyer shall promptly notify the client of the receipt of any money or other property of the client, unless satisfied that the client is aware that they have come into the lawyer's custody.

Identifying Client's Property

(3) A lawyer shall clearly label and identify the client's property and place it in safekeeping distinguishable from the lawyer's own property.

(4) A lawyer shall maintain such records as necessary to identify a client's property that is in the lawyer's custody.

Accounting and Delivery

(5) A lawyer shall account promptly for a client's property that is in the lawyer's custody and upon request shall deliver it to the order of the client.

(6) Where a lawyer is unsure of the proper person to receive a client's property, the lawyer shall apply to a tribunal of competent jurisdiction for direction.

Commentary

The lawyer should be alert to claim on behalf of a client any privilege in respect of property seized or attempted to be seized by an external authority. In this regard, the lawyer should be familiar with the nature of the client's privilege and with such relevant statutory provisions as are found in the *Income Tax Act (Canada)*.

2.08 FEES AND DISBURSEMENTS

Reasonable Fees and Disbursements

2.08 (1) A lawyer shall not charge or accept any amount for a fee or disbursement unless it is fair and reasonable and has been disclosed in a timely fashion.

(2) A lawyer shall not charge a client interest on an overdue account save as permitted by the *Solicitors Act* or as otherwise permitted by law.

Commentary

What is a fair and reasonable fee will depend upon such factors as

- (a) the time and effort required and spent,
- (b) the difficulty and importance of the matter,
- (c) whether special skill or service has been required and provided,
- (d) the amount involved or the value of the subject-matter,
- (e) the results obtained,
- (f) fees authorized by statute or regulation,
- (g) special circumstances, such as the loss of other retainers, postponement of payment, uncertainty of reward, or urgency.

The fiduciary relationship between lawyer and client requires full disclosure in all financial dealings between them and prohibits the acceptance by the lawyer of any hidden fees. No fee, reward, costs, commission, interest, rebate, agency or forwarding allowance, or other compensation related to professional employment may be taken by the lawyer from anyone other than the client without full disclosure to and the consent of the client or, where the lawyer's fees are being paid by someone other than the client, such as a legal aid agency, a borrower, or a personal representative, without the consent of such agency or other person.

Breach of this rule and misunderstandings about fees and financial matters bring the legal profession into disrepute and reflect adversely upon the general administration of justice. A lawyer should try to avoid controversy with a client about fees and should be ready to explain the basis for the charges (especially if the client is unsophisticated or uninformed about how a fair and reasonable fee is determined). A lawyer should inform a client about his or her rights to have an account assessed under the *Solicitors Act*.

Where possible to do so, a lawyer should give the client a fair estimate of fees and disbursements, pointing out any uncertainties involved, so that the client may be able to make an informed decision. This is particularly important concerning fee charges or disbursements that the client might not reasonably be expected to anticipate. When something unusual or unforeseen occurs that may substantially affect the amount of a fee or disbursement, the lawyer should forestall misunderstandings or disputes by giving the client an immediate explanation.

It is in keeping with the best traditions of the legal profession to provide services pro bono and to reduce or waive a fee where there is hardship or poverty or the client or prospective client would otherwise be deprived of adequate legal advice or representation. A lawyer should provide public interest legal services and should support organizations that provide services to persons of limited means.

Contingency Fees and Contingency Fee Agreements

(3) Subject to subrule (1) except in family law or criminal or quasi-criminal matters, a lawyer may enter into a written agreement in accordance with the *Solicitors Act* and the regulations thereunder, that provides that the lawyer's fee is contingent, in whole or in part, on the successful disposition or completion of the matter for which the lawyer's services are to be provided.

[Amended – November 2002, October 2004]

Commentary

In determining the appropriate percentage or other basis of the contingency fee, the lawyer and the client should consider a number of factors, including the likelihood of success, the nature and complexity of the claim, the expense and risk of pursuing it, the amount of the expected recovery and who is to receive an award of costs. The lawyer and client may agree that in addition to the fee payable under the agreement, any amount arising as a result of an award of costs or costs obtained as a part of a settlement is to be paid to the lawyer, which agreement under the *Solicitors Act* must receive judicial approval. In such circumstances, a smaller percentage of the award than would otherwise be agreed upon for the contingency fee, after considering all relevant factors, will generally be appropriate. The test is whether the fee in all of the circumstances is fair and reasonable.

[New - October 2002, Amended October 2004]

Statement of Account

(4) In a statement of an account delivered to a client, a lawyer shall clearly and separately detail the amounts charged as fees and as disbursements.

Joint Retainer

(5) Where a lawyer is acting for two or more clients, the lawyer shall divide the fees and disbursements equitably between them, unless there is an agreement by the clients otherwise.

Division of Fees and Referral Fees

(6) Where the client consents, fees for a matter may be divided between licensees who are not in the same firm, provided that the fees are divided in proportion to the work done and the responsibilities assumed.

(7) Where a lawyer refers a matter to another licensee because of the expertise and ability of the other licensee to handle the matter and the referral was not made because of a conflict of interest, the referring lawyer may accept and the other licensee may pay a referral fee provided that

(a) the fee is reasonable and does not increase the total amount of the fee charged to the client, and

(b) the client is informed and consents.

(8) A lawyer shall not

(a) directly or indirectly share, split, or divide his or her fees with any person who is not a licensee, or

(b) give any financial or other reward to any person who is not a licensee for the referral of clients or client matters.

[Amended - April 2008]

Commentary

This rule does not prohibit an arrangement respecting the purchase and sale of a law practice when the consideration payable includes a percentage of revenues generated from the practice sold.

[New - May 2001]

Exception for Multi-discipline Practices and Interprovincial and International Law Firms

(9) Subrule (8) does not apply to

- (a) multi-discipline practices of lawyer and non-licensee partners where the partnership agreement provides for the sharing of fees, cash flows or profits among members of the firm, and
- (b) sharing of fees, cash flows or profits by lawyers who are
 - (i) members of an interprovincial law firm, or
 - (ii) members of a law partnership of Ontario and non-Canadian lawyers who otherwise comply with this rule.

[Amended – June 2009]

Commentary

An affiliation is different from a multi-discipline practice established in accordance with the by-laws under the *Law Society Act*, an interprovincial law partnership or a partnership between Ontario lawyers and foreign lawyers. An affiliation is subject to subrule 2.08(8). In particular, an affiliated entity is not permitted to share in the lawyer's revenues, cash flows or profits, either directly or indirectly through excessive inter-firm charges, for example, by charging inter-firm expenses above their fair market value.

[New - May 2001]

Appropriation of Funds

(10) The lawyer shall not appropriate any funds of the client held in trust or otherwise under the lawyer's control for or on account of fees except as permitted by the by-laws under the *Law Society Act*.

2.09 WITHDRAWAL FROM REPRESENTATION

Withdrawal from Representation

2.09 (1) A lawyer shall not withdraw from representation of a client except for good cause and upon notice to the client appropriate in the circumstances.

Commentary

Although the client has the right to terminate the lawyer-client relationship at will, the lawyer does not enjoy the same freedom of action. Having undertaken the representation of a client, the lawyer should complete the task as ably as possible unless there is justifiable cause for terminating the relationship.

No hard and fast rules can be laid down about what will constitute reasonable notice before withdrawal. Where the matter is covered by statutory provisions or rules of court, these will govern. In other situations, the governing principle is that the lawyer should protect the client's interests to the best of the lawyer's ability and should not desert the client at a critical stage of a matter or at a time when withdrawal would put the client in a position of disadvantage or peril.

Optional Withdrawal

(2) Subject to the rules about criminal proceedings and the direction of the tribunal, where there has been a serious loss of confidence between the lawyer and the client, the lawyer may withdraw.

Commentary

A lawyer who is deceived by the client will have justifiable cause for withdrawal, and the refusal of the client to accept and act upon the lawyer's advice on a significant point might indicate a loss of confidence justifying withdrawal. However, the lawyer should not use the threat of withdrawal as a device to force a hasty decision by the client on a difficult question.

Non-payment of Fees

(3) Subject to the rules about criminal proceedings and the direction of the tribunal, where, after reasonable notice, the client fails to provide funds on account of disbursements or fees, a lawyer may withdraw unless serious prejudice to the client would result.

Withdrawal from Criminal Proceedings

(4) Where a lawyer has agreed to act in a criminal case and where the interval between a withdrawal and the trial of the case is sufficient to enable the client to obtain another licensee and to allow such other licensee adequate time for preparation, the lawyer who has agreed to act may withdraw because the client has not paid the agreed fee or for other adequate cause provided that the lawyer

[Amended – June 2007]

- (a) notifies the client, preferably in writing, that the lawyer is withdrawing because the fees have not been paid or for other adequate cause,
- (b) accounts to the client for any monies received on account of fees and disbursements,
- (c) notifies Crown counsel in writing that the lawyer is no longer acting,
- (d) in a case when the lawyer's name appears on the records of the court as acting for the accused, notifies the clerk or registrar of the appropriate court in writing that the lawyer is no longer acting.

Commentary

A lawyer who has withdrawn because of conflict with the client should not indicate in the notice addressed to the court or Crown counsel the cause of the conflict or make reference to any matter that would violate the privilege that exists between lawyer and client. The notice should merely state that the lawyer is no longer acting and has withdrawn.

(5) Where a lawyer has agreed to act in a criminal case and where the date set for trial is not far enough removed to enable the client to obtain another licensee or to enable another licensee to prepare adequately for trial and an adjournment of the trial date cannot be obtained without adversely affecting the client's interests, the lawyer who agreed to act may not withdraw because of non-payment of fees.

(6) Where the lawyer is justified in withdrawing from a criminal case for reasons other than non-payment of fees and there is not a sufficient interval between a notice to the client of the lawyer's intention to withdraw and the date when the case is to be tried to enable the client to obtain another licensee and to enable such licensee to prepare adequately for trial, the first lawyer, unless instructed otherwise by the client, should attempt to have the trial date adjourned and may withdraw from the case only with the permission of the court before which the case is to be tried.

[Amended – June 2007]

Commentary

Where circumstances arise that in the opinion of the lawyer require an application to the court for leave to withdraw, the lawyer should promptly inform Crown counsel and the court of the intention to apply for leave in order to avoid or minimize any inconvenience to the court and witnesses.

Mandatory Withdrawal

(7) Subject to the rules about criminal proceedings and the direction of the tribunal, a lawyer shall withdraw if

- (a) discharged by the client,
- (b) the lawyer is instructed by the client to do something inconsistent with the lawyer's duty to the tribunal and, following explanation, the client persists in such instructions,
- (c) the client is guilty of dishonourable conduct in the proceedings or is taking a position solely to harass or maliciously injure another,
- (d) it becomes clear that the lawyer's continued employment will lead to a breach of these rules,

- (d.1) the lawyer is required to do so pursuant to subrules 2.02 (5.1) or (5.2) (dishonesty, fraud, etc. when client an organization), or
- (e) the lawyer is not competent to handle the matter.

[Amended – March 2004]

Commentary

When a law firm is dissolved it will usually result in the termination of the lawyer-client relationship as between a particular client and one or more of the lawyers involved. In such cases, most clients will prefer to retain the services of the lawyer whom they regarded as being in charge of their business before the dissolution. However, the final decision rests with the client, and the lawyers who are no longer retained by that client should act in accordance with the principles here set out, and, in particular, should try to minimize expense and avoid prejudice to the client.

Manner of Withdrawal

- (8) When a lawyer withdraws, the lawyer shall try to minimize expense and avoid prejudice to the client and shall do all that can reasonably be done to facilitate the orderly transfer of the matter to the successor legal practitioner.
- (9) Upon discharge or withdrawal, a lawyer shall
 - (a) subject to the lawyer’s right to a lien, deliver to or to the order of the client all papers and property to which the client is entitled,
 - (b) give the client all information that may be required in connection with the case or matter,
 - (c) account for all funds of the client then held or previously dealt with, including the refunding of any remuneration not earned during the representation,
 - (d) promptly render an account for outstanding fees and disbursements, and
 - (e) co-operate with the successor legal practitioner so as to minimize expense and avoid prejudice to the client.

[Amended – June 2009]

Commentary

The obligation to deliver papers and property is subject to a lawyer's right of lien. In the event of conflicting claims to such papers or property, the lawyer should make every effort to have the claimants settle the dispute.

A lawyer acting for several clients in a case or matter who ceases to act for one or more of them should co-operate with the successor legal practitioner or practitioners to the extent required by the rules and should seek to avoid any unseemly rivalry, whether real or apparent.

[Amended – June 2009]

Where upon the discharge or withdrawal of the lawyer, the question of a right of lien for unpaid fees and disbursements arises, the lawyer should have due regard to the effect of its enforcement upon the client's position. Generally speaking, the lawyer should not enforce the lien if to do so would prejudice materially the client's position in any uncompleted matter.

Duty of Successor Licensee

(10) Before agreeing to represent a client, a successor licensee shall be satisfied that the former licensee approves, has withdrawn, or has been discharged by the client.

[Amended – June 2007]

Commentary

It is quite proper for the successor licensee to urge the client to settle or take reasonable steps towards settling or securing any outstanding account of the former licensee, especially if the latter withdrew for good cause or was capriciously discharged. But if a trial or hearing is in progress or imminent or if the client would otherwise be prejudiced, the existence of an outstanding account should not be allowed to interfere with the successor licensee acting for the client.

[Amended – June 2007]

Rule 3 The Practice of Law

3.01 MAKING LEGAL SERVICES AVAILABLE

Making Services Available

3.01 (1) A lawyer shall make legal services available to the public in an efficient and convenient way.

Commentary

A lawyer may assist in making legal services available by participating in the Legal Aid Plan and lawyer referral services and by engaging in programmes of public information, education or advice concerning legal matters.

Right to Decline Representation - A lawyer may decline a particular representation (except when assigned as counsel by a tribunal), but that discretion should be exercised prudently, particularly if the probable result would be to make it difficult for a person to obtain legal advice or representation. Generally, a lawyer should not decline representation merely because a person seeking legal services or that person's cause is unpopular or notorious, or because powerful interests or allegations of misconduct or malfeasance are involved, or because of the lawyer's private opinion about the guilt of the accused. A lawyer declining representation should assist in obtaining the services of another licensee qualified in the particular field and able to act.

When a lawyer offers assistance to a client or prospective client in finding another licensee, the assistance should be given willingly and, except where a referral fee is permitted by rule 2.08(7), without charge.

Restrictions

- (2) In offering legal services, a lawyer shall not use means
- (a) that are false or misleading,
 - (b) that amount to coercion, duress, or harassment,
 - (c) that take advantage of a person who is vulnerable or who has suffered a traumatic experience and has not yet had a chance to recover,
 - (d) that are intended to influence a person who has retained another lawyer for a particular matter to change his or her lawyer for that matter, unless the change is initiated by the person or the other lawyer, or
 - (e) that otherwise bring the profession or the administration of justice into disrepute.

Commentary

A person who is vulnerable or who has suffered a traumatic experience and has not yet had a chance to recover may need the professional assistance of a lawyer, and this rule does not prevent a lawyer from offering his or her assistance to such a person. Rather, the rule prohibits the lawyer from using unconscionable or exploitive means that bring the profession or the administration of justice into disrepute.

3.02 MARKETING**Marketing Legal Services**

3.02 (1) In this Rule, "marketing" includes advertisements and other similar communications in various media as well as firm names (including trade names), letterhead, business cards and logos.

- (2) A lawyer may market legal services if the marketing
- (a) is demonstrably true, accurate and verifiable,
 - (b) is neither misleading, confusing, or deceptive, nor likely to mislead, confuse or deceive, and
 - (c) is in the best interests of the public and is consistent with a high standard of professionalism.

Commentary

Examples of marketing that may contravene this rule include:

- a. stating an amount of money that the lawyer has recovered for a client or referring to the lawyer's degree of success in past cases, unless such statement is accompanied by a further statement that past results are not necessarily indicative of future results and that the amount recovered and other litigation outcomes will vary according to the facts in individual cases;
- b. suggesting qualitative superiority to other lawyers;
- c. raising expectations unjustifiably;
- d. suggesting or implying the lawyer is aggressive;
- e. disparaging or demeaning other persons, groups, organizations or institutions;
- f. taking advantage of a vulnerable person or group;
- g. using testimonials or endorsements which contain emotional appeals.

Advertising of Fees

- (3) A lawyer may advertise fees charged by the lawyer for legal services if
 - (a) the advertising is reasonably precise as to the services offered for each fee quoted,
 - (b) the advertising states whether other amounts, such as disbursements and taxes, will be charged in addition to the fee, and
 - (c) the lawyer adheres to the advertised fee.

3.03 ADVERTISING NATURE OF PRACTICE

Certified Specialist

3.03 (1) A lawyer may advertise that the lawyer is a specialist in a specified field only if the lawyer has been so certified by the Society.

Commentary

Lawyer's advertisements may be designed to provide information to assist a potential client to choose a lawyer who has the appropriate skills and knowledge for the client's particular legal matter.

In accordance with s. 20(1) of the Society's By-law 15 on Certified Specialists, the lawyer who is not a certified specialist is not permitted to use any designation from which a person might reasonably conclude that the lawyer is a certified specialist.

In a case where a firm practises in more than one jurisdiction, some of which certify or recognize specialization, an advertisement by such a firm which makes reference to the status of a firm member as a specialist, in media circulated concurrently in the other jurisdiction(s) and the certifying jurisdiction, shall not be considered as offending this rule if the certifying authority or organization is identified.

A lawyer may advertise areas of practice, including preferred areas of practice or that his or her practice is restricted to a certain area of law. An advertisement may also include a description of the lawyer's or law firm's proficiency or experience in an area of law. In all cases, the representations made must be accurate (that is, demonstrably true) and must not be misleading.

3.04 Interprovincial Law Firms

Interprovincial Law Firms

3.04 (1) Lawyers may enter into agreements with lawyers in other Canadian jurisdictions to form an interprovincial law firm, so long as they comply with the requirements of this rule.

Requirements

- (2) A lawyer who is a member of an interprovincial law firm and qualified to practise in Ontario shall comply with all the requirements of the Society.
- (3) A lawyer who is a member of an interprovincial law firm and qualified to practise in Ontario shall ensure that the books, records, and accounts pertaining to the practice in Ontario are available in Ontario on demand by the Society's auditors or their designated agents.
- (4) A lawyer who is a member of an interprovincial law firm and qualified to practise in Ontario shall ensure that his or her partners, associates, or employees who are not qualified to practise in Ontario are not held out as and do not represent themselves as qualified to practise in Ontario.

[Amended - November 2008]

Rule 4 Relationship to the Administration of Justice

4.01 THE LAWYER AS ADVOCATE

Advocacy

4.01 (1) When acting as an advocate, a lawyer shall represent the client resolutely and honourably within the limits of the law while treating the tribunal with candour, fairness, courtesy, and respect.

Commentary

The lawyer has a duty to the client to raise fearlessly every issue, advance every argument, and ask every question, however distasteful, which the lawyer thinks will help the client's case and to endeavour to obtain for the client the benefit of every remedy and defence authorized by law. The lawyer must discharge this duty by fair and honourable means, without illegality and in a manner that is consistent with the lawyer's duty to treat the tribunal with candour, fairness, courtesy and respect and in a way that promotes the parties' right to a fair hearing where justice can be done. Maintaining dignity, decorum, and courtesy in the courtroom is not an empty formality because, unless order is maintained, rights cannot be protected.

This rule applies to the lawyer as advocate, and therefore extends not only to court proceedings but also to appearances and proceedings before boards, administrative tribunals, arbitrators, mediators, and others who resolve disputes, regardless of their function or the informality of their procedures.

Role in Adversary Proceedings - In adversary proceedings the lawyer's function as advocate is openly and necessarily partisan. Accordingly, the lawyer is not obliged (save as required by law or under these rules and subject to the duties of a prosecutor set out below) to assist an adversary or advance matters derogatory to the client's case.

In adversary proceedings that will likely affect the health, welfare, or security of a child, a lawyer should advise the client to take into account the best interests of the child, where this can be done without prejudicing the legitimate interests of the client.

When acting as an advocate, a lawyer should refrain from expressing the lawyer's personal opinions on the merits of a client's case.

When opposing interests are not represented, for example, in without notice or uncontested matters or in other situations where the full proof and argument inherent in the adversary system cannot be achieved, the lawyer must take particular care to be accurate, candid, and comprehensive in presenting the client's case so as to ensure that the tribunal is not misled.

Duty as Defence Counsel - When defending an accused person, a lawyer's duty is to protect the client as far as possible from being convicted except by a tribunal of competent jurisdiction and upon legal evidence sufficient to support a conviction for the offence with which the client is charged. Accordingly, and notwithstanding the lawyer's private opinion on credibility or the merits, a lawyer may properly rely on any evidence or defences including so-called technicalities not known to be false or fraudulent.

Admissions made by the accused to a lawyer may impose strict limitations on the conduct of the defence, and the accused should be made aware of this. For example, if the accused clearly admits to the lawyer the factual and mental elements necessary to constitute the offence, the lawyer, if convinced that the admissions are true and voluntary, may properly take objection to the jurisdiction of the court, or to the form of the indictment, or to the admissibility or sufficiency of the evidence, but must not suggest that some other person committed the offence or call any evidence which, by reason of the admissions, the lawyer believes to be false. Nor may the lawyer set up an affirmative case inconsistent with such admissions, for example, by calling evidence in support of an alibi intended to show that the accused could not have done or, in fact, has not done the act. Such admissions will also impose a limit on the extent to which the lawyer may attack the evidence for the prosecution. The lawyer is entitled to test the evidence given by each individual witness for the prosecution and argue that the evidence taken as a whole is insufficient to amount to proof that the accused is guilty of the offence charged, but the lawyer should go no further than that.

The lawyer should never waive or abandon the client's legal rights, for example, an available defence under a statute of limitations, without the client's informed consent.

In civil matters, it is desirable that the lawyer should avoid and discourage the client from resorting to frivolous or vexatious objections, or from attempts to gain advantage from slips or oversights not going to the merits, or from tactics that will merely delay or harass the other side. Such practices can readily bring the administration of justice and the legal profession into disrepute.

In civil proceedings, the lawyer has a duty not to mislead the tribunal about the position of the client in the adversary process. Thus, a lawyer representing a party to litigation who has made an agreement or is party to an agreement made before or during the trial by which a plaintiff is guaranteed recovery by one or more parties notwithstanding the judgment of the court, should immediately reveal the existence and particulars of the agreement to the court and to all parties to the proceedings.

- (2) When acting as an advocate, a lawyer shall not
- (a) abuse the process of the tribunal by instituting or prosecuting proceedings which, although legal in themselves, are clearly motivated by malice on the part of the client and are brought solely for the purpose of injuring the other party,
 - (b) knowingly assist or permit the client to do anything that the lawyer considers to be dishonest or dishonourable,
 - (c) appear before a judicial officer when the lawyer, the lawyer's associates or the client have business or personal relationships with the officer that give rise to or might reasonably appear to give rise to pressure, influence, or inducement affecting the impartiality of the officer,
 - (d) endeavour or allow anyone else to endeavour, directly or indirectly, to influence the decision or action of a tribunal or any of its officials in any case or matter by any means other than open persuasion as an advocate,

- (e) knowingly attempt to deceive a tribunal or influence the course of justice by offering false evidence, misstating facts or law, presenting or relying upon a false or deceptive affidavit, suppressing what ought to be disclosed, or otherwise assisting in any fraud, crime, or illegal conduct,
- (f) knowingly misstate the contents of a document, the testimony of a witness, the substance of an argument, or the provisions of a statute or like authority,
- (g) knowingly assert as true a fact when its truth cannot reasonably be supported by the evidence or as a matter of which notice may be taken by the tribunal,
- (h) deliberately refrain from informing the tribunal of any binding authority that the lawyer considers to be directly on point and that has not been mentioned by an opponent,
- (i) dissuade a witness from giving evidence or advise a witness to be absent,
- (j) knowingly permit a witness or party to be presented in a false or misleading way or to impersonate another,
- (k) needlessly abuse, hector, or harass a witness,
- (l) when representing a complainant or potential complainant, attempt to gain a benefit for the complainant by threatening the laying of a criminal charge or by offering to seek or to procure the withdrawal of a criminal charge, and
- (m) needlessly inconvenience a witness.

Commentary

A lawyer representing an accused or potential accused may communicate with a complainant or potential complainant, for example, to obtain factual information, to arrange for restitution or an apology from the accused, or to defend or settle any civil claims between the accused and the complainant. However, where the complainant or potential complainant is vulnerable, the lawyer must take care not to take unfair or improper advantage of the circumstances. Where the complainant or potential complainant is unrepresented, the lawyer should be governed by the rules about unrepresented persons and make it clear that the lawyer is acting exclusively in the interests of the accused or potential accused and, accordingly, the lawyer's comments may be partisan. When communicating with an unrepresented complainant or potential complainant, it is prudent to have a witness present.

Duty as Prosecutor

- (3) When acting as a prosecutor, a lawyer shall act for the public and the administration of justice resolutely and honourably within the limits of the law while treating the tribunal with candour, fairness, courtesy, and respect.

Commentary

When engaged as a prosecutor, the lawyer's prime duty is not to seek to convict but to see that justice is done through a fair trial on the merits. The prosecutor exercises a public function involving much discretion and power and must act fairly and dispassionately. The prosecutor should not do anything that might prevent the accused from being represented by counsel or communicating with counsel and, to the extent required by law and accepted practice, should make timely disclosure to defence counsel or directly to an unrepresented accused of all relevant and known facts and witnesses, whether tending to show guilt or innocence.

Discovery Obligations

- (4) Where the rules of a tribunal require the parties to produce documents or attend on examinations for discovery, a lawyer, when acting as an advocate
 - (a) shall explain to his or her client
 - (i) the necessity of making full disclosure of all documents relating to any matter in issue, and
 - (ii) the duty to answer to the best of his or her knowledge, information, and belief, any proper question relating to any issue in the action or made discoverable by the rules of court or the rules of the tribunal,
 - (b) shall assist the client in fulfilling his or her obligations to make full disclosure, and
 - (c) shall not make frivolous requests for the production of documents or make frivolous demands for information at the examination for discovery.

Disclosure of Error or Omission

- (5) A lawyer who has unknowingly done or failed to do something that if done or omitted knowingly would have been in breach of this rule and who discovers it, shall, subject to rule 2.03 (Confidentiality), disclose the error or omission and do all that can reasonably be done in the circumstances to rectify it.

Commentary

If the client desires that a course be taken that would involve a breach of this rule, the lawyer must refuse and do everything reasonably possible to prevent it. If that cannot be done the lawyer should, subject to rule 2.09 (Withdrawal from Representation), withdraw or seek leave to do so.

Courtesy

(6) A lawyer shall be courteous, civil, and act in good faith to the tribunal and with all persons with whom the lawyer has dealings in the course of litigation.

Commentary

Legal contempt of court and the professional obligation outlined here are not identical, and a consistent pattern of rude, provocative, or disruptive conduct by the lawyer, even though unpunished as contempt, might well merit discipline.

Undertakings

(7) A lawyer shall strictly and scrupulously carry out an undertaking given to the tribunal or to another legal practitioner in the course of litigation.

[Amended – June 2009]

Commentary

Unless clearly qualified, the lawyer's undertaking is a personal promise and responsibility.

Agreement on Guilty Plea

(8) Before a charge is laid or at any time after a charge is laid, a lawyer for an accused or potential accused may discuss with the prosecutor the possible disposition of the case, unless the client instructs otherwise.

(9) Where, following investigation,

(a) a lawyer for an accused or potential accused advises his or her client about the prospects for an acquittal or finding of guilt,

(b) the lawyer advises the client of the implications and possible consequences of a guilty plea and particularly of the sentencing authority and discretion of the court, including the fact that the court is not bound by any agreement about a guilty plea,

(c) the client voluntarily is prepared to admit the necessary factual and mental elements of the offence charged, and

(d) the client voluntarily instructs the lawyer to enter into an agreement as to a guilty plea,

the lawyer may enter into an agreement with the prosecutor about a guilty plea.

Commentary

The public interest in the proper administration of justice should not be sacrificed in the interest of expediency.

4.02 THE LAWYER AS WITNESS

Submission of Affidavit

4.02 (1) Subject to any contrary provisions of the law or the discretion of the tribunal before which a lawyer is appearing, a lawyer who appears as advocate shall not submit his or her own affidavit to the tribunal.

Submission of Testimony

(2) Subject to any contrary provisions of the law or the discretion of the tribunal before which a lawyer is appearing, a lawyer who appears as advocate shall not testify before the tribunal unless permitted to do so by the rules of court or the rules of procedure of the tribunal, or unless the matter is purely formal or uncontroverted.

Commentary

A lawyer should not express personal opinions or beliefs or assert as a fact anything that is properly subject to legal proof, cross-examination, or challenge. The lawyer should not in effect appear as an unsworn witness or put the lawyer's own credibility in issue. The lawyer who is a necessary witness should testify and entrust the conduct of the case to another lawyer. There are no restrictions on the advocate's right to cross-examine another lawyer, however, and the lawyer who does appear as a witness should not expect to receive special treatment because of professional status.

Appeals

(3) A lawyer who is a witness in proceedings shall not appear as advocate in any appeal from the decision in those proceedings.

4.03 INTERVIEWING WITNESSES

Interviewing Witnesses

4.03 Subject to the rules on communication with a represented party set out in subrules 6.03(7),(8) and (9), a lawyer may seek information from any potential witness, whether under subpoena or not, but the lawyer shall disclose the lawyer's interest and take care not to subvert or suppress any evidence or procure the witness to stay out of the way.

[Amended – November 2007]

4.04 COMMUNICATION WITH WITNESSES GIVING EVIDENCE**Communication with Witnesses Giving Evidence**

4.04 Subject to the direction of the tribunal, the lawyer shall observe the following rules respecting communication with witnesses giving evidence:

- (a) during examination-in-chief, the examining lawyer may discuss with the witness any matter that has not been covered in the examination up to that point,
- (b) during examination-in-chief by another legal practitioner of a witness who is unsympathetic to the lawyer's cause, the lawyer not conducting the examination-in-chief may discuss the evidence with the witness,
- (c) between completion of examination-in-chief and commencement of cross-examination of the lawyer's own witness, the lawyer ought not to discuss the evidence given in chief or relating to any matter introduced or touched on during the examination-in-chief,
- (d) during cross-examination by an opposing legal practitioner, the witness's own lawyer ought not to have any conversation with the witness about the witness's evidence or any issue in the proceeding,
- (e) between completion of cross-examination and commencement of re-examination, the lawyer who is going to re-examine the witness ought not to have any discussion about evidence that will be dealt with on re-examination,
- (f) during cross-examination by the lawyer of a witness unsympathetic to the cross-examiner's cause, the lawyer may discuss the witness's evidence with the witness,
- (g) during cross-examination by the lawyer of a witness who is sympathetic to that lawyer's cause, any conversations ought to be restricted in the same way as communications during examination-in-chief of one's own witness, and
- (h) during re-examination of a witness called by an opposing legal practitioner, if the witness is sympathetic to the lawyer's cause the lawyer ought not to discuss the evidence to be given by that witness during re-examination. The lawyer may, however, properly discuss the evidence with a witness who is adverse in interest.

[Amended – June 2009]

Commentary

If any question arises whether the lawyer's behaviour may be in violation of this rule, it will often be appropriate to obtain the consent of the opposing legal practitioner or leave of the tribunal before engaging in conversations that may be considered improper.

This rule applies with necessary modifications to examinations out of court.

[Amended – June 2009]

4.05 RELATIONS WITH JURORS

Communications Before Trial

4.05 (1) When acting as an advocate, before the trial of a case, a lawyer shall not communicate with or cause another to communicate with anyone that the lawyer knows to be a member of the jury panel for that trial.

Commentary

A lawyer may investigate a prospective juror to ascertain any basis for challenge, provided that the lawyer does not directly or indirectly communicate with the juror or with any member of the juror's family. But a lawyer should not conduct or cause another, by financial support or otherwise, to conduct a vexatious or harassing investigation of either a member of the jury panel or a juror.

Disclosure of Information

(2) When acting as an advocate, a lawyer shall disclose to the judge and opposing counsel any information of which the lawyer is aware that a juror or prospective juror

- (a) has or may have an interest, direct or indirect, in the outcome of the case,
- (b) is acquainted with or connected in any manner with the presiding judge, any counsel or any litigant, or
- (c) is acquainted with or connected in any manner with any person who has appeared or who is expected to appear as a witness,

unless the judge and opposing counsel have previously been made aware of the information.

(3) A lawyer should promptly disclose to the court any information that the lawyer has about improper conduct by a member of a jury panel or by a juror toward another member of the jury panel, another juror, or to the members of a juror's family.

Communication During Trial

(4) Except as permitted by law, when acting as an advocate, a lawyer shall not during a trial of a case communicate with or cause another to communicate with any member of the jury.

(5) A lawyer who is not connected with a case before the court shall not communicate with or cause another to communicate with any member of the jury about the case.

Commentary

The restrictions on communications with a juror or potential juror should also apply to communications with or investigations of members of his or her family.

4.06 THE LAWYER AND THE ADMINISTRATION OF JUSTICE

Encouraging Respect for the Administration of Justice

4.06 (1) A lawyer shall encourage public respect for and try to improve the administration of justice.

Commentary

The obligation outlined in the rule is not restricted to the lawyer's professional activities but is a general responsibility resulting from the lawyer's position in the community. A lawyer's responsibilities are greater than those of a private citizen. A lawyer should take care not to weaken or destroy public confidence in legal institutions or authorities by irresponsible allegations. The lawyer in public life should be particularly careful in this regard because the mere fact of being a lawyer will lend weight and credibility to public statements. Yet for the same reason, a lawyer should not hesitate to speak out against an injustice.

The admission to and continuance in the practice of law implies on the part of a lawyer a basic commitment to the concept of equal justice for all within an open, ordered, and impartial system. However, judicial institutions will not function effectively unless they command the respect of the public, and because of changes in human affairs and imperfections in human institutions, constant efforts must be made to improve the administration of justice and thereby maintain public respect for it.

Criticizing Tribunals - Although proceedings and decisions of tribunals are properly subject to scrutiny and criticism by all members of the public, including lawyers, judges and members of tribunals are often prohibited by law or custom from defending themselves. Their inability to do so imposes special responsibilities upon lawyers. First, a lawyer should avoid criticism that is petty, intemperate, or unsupported by a *bona fide* belief in its real merit, bearing in mind that in the eyes of the public, professional knowledge lends weight to the lawyer's judgments or criticism. Second, if a lawyer has been involved in the proceedings, there is the risk that any criticism may be, or may appear to be, partisan rather than objective. Third, where a tribunal is the object of unjust criticism, a lawyer, as a participant in the administration of justice, is uniquely able to and should support the tribunal, both because its members cannot defend themselves and because in doing so the lawyer is contributing to greater public understanding of and therefore respect for the legal system.

A lawyer, by training, opportunity, and experience is in a position to observe the workings and discover the strengths and weaknesses of laws, legal institutions, and public authorities. A lawyer should, therefore, lead in seeking improvements in the legal system, but any criticisms and proposals should be *bona fide* and reasoned.

Seeking Legislative or Administrative Changes

(2) A lawyer who seeks legislative or administrative changes shall disclose the interest being advanced, whether the lawyer's interest, the client's interest, or the public interest.

Commentary

The lawyer may advocate legislative or administrative changes on behalf of a client although not personally agreeing with them, but the lawyer who purports to act in the public interest should espouse only those changes that the lawyer conscientiously believes to be in the public interest.

Security of Court Facilities

(3) A lawyer who has reasonable grounds for believing that a dangerous situation is likely to develop at a court facility shall inform the local police force and give particulars.

Commentary

Where possible, the lawyer should suggest solutions to the anticipated problem such as (a) the necessity for further security, and (b) that judgment ought to be reserved.

Where possible, the lawyer should also notify other lawyers who are known to be involved in proceedings at the court facility where the dangerous situation is likely to develop. Beyond providing a warning of danger, this notice is desirable because it may allow them to suggest security measures that do not interfere with an accused's or a party's right to a fair trial.

If client information is involved in those situations, the lawyer should be guided by the provisions of rule 2.03 (Confidentiality).

4.07 LAWYERS AS MEDIATORS

Role of Mediator

4.07 A lawyer who acts as a mediator shall, at the outset of the mediation, ensure that the parties to it understand fully that

- (a) the lawyer is not acting as a lawyer for either party but, as mediator, is acting to assist the parties to resolve the matters in issue, and

(b) although communications pertaining to and arising out of the mediation process may be covered by some other common law privilege, they will not be covered by the solicitor-client privilege.

Commentary

In acting as a mediator, generally a lawyer should not give legal advice as opposed to legal information to the parties during the mediation process.

Generally, neither the lawyer-mediator nor a partner or associate of the lawyer-mediator should render legal representation or give legal advice to either party to the mediation, bearing in mind the provisions of rule 2.04 (Avoidance of Conflicts of Interest) and its commentaries and the common law authorities.

Generally a lawyer-mediator should suggest and encourage the parties to seek the advice of separate counsel before and during the mediation process if they have not already done so.

Where in the mediation process the lawyer-mediator prepares a draft contract for the consideration of the parties, the lawyer-mediator should expressly advise and encourage them to seek separate independent legal representation concerning the draft contract.

Rule 5 Relationship to Students, Employees, and Others

5.01 SUPERVISION

Application

5.01 (1) In this rule, a non-lawyer does not include an articulated student.

Direct Supervision required

- (2) A lawyer shall in accordance with the By-Laws
- (a) assume complete professional responsibility for his or her practice of law, and
 - (b) shall directly supervise non-lawyers to whom particular tasks and functions are assigned.

Commentary

By-Law 7.1 governs the circumstances in which a lawyer may assign certain tasks and functions to a non-lawyer within a law practice. Where a non-lawyer is competent to do work under the supervision of a lawyer, a lawyer may assign work to the non-lawyer. The non-lawyer must be directly supervised by the lawyer. A lawyer is required to review the non-lawyer's work at frequent intervals to ensure its proper and timely completion.

A lawyer may permit a non-lawyer to perform tasks assigned and supervised by the lawyer as long as the lawyer maintains a direct relationship with the client or, if the lawyer is in a community legal clinic funded by Legal Aid Ontario, as long as the lawyer maintains a direct supervisory relationship with each client's case in accordance with the supervision requirements of Legal Aid Ontario and assumes full professional responsibility for the work.

A lawyer who practices alone or operates a branch or part-time office should ensure that all matters requiring a lawyer's professional skill and judgment are dealt with by a lawyer qualified to do the work and that legal advice is not given by unauthorized persons, whether in the lawyer's name or otherwise.

A lawyer should ensure that the non-lawyer is identified as such when communicating orally or in writing with clients, licensees, public officials, or with the public generally whether within or outside the offices of the law practice.

The following examples, which are not exhaustive, illustrate situations where it may be appropriate to assign work to non-lawyers subject to direct supervision.

Real Estate – A lawyer may permit a non-lawyer to attend to all matters of routine administration, assist in more complex transactions, draft statements of account and routine documents and correspondence and attend to registrations. The lawyer must not assign to a non-lawyer the ultimate responsibility for review of a title search report or of documents before signing or for review and signing of a letter of requisition, review and signing of a title opinion or review and signing of a reporting letter to the client.

In real estate transactions using the system for the electronic registration of title documents (“e-reg”™), only a lawyer may sign for completeness of any document that requires compliance with law statements.

Corporate and Commercial – A lawyer may permit a non-lawyer to attend to all matters of routine administration and to assist in more complex matters and to draft routine documents and correspondence relating to corporate, commercial, and securities matters such as drafting corporate minutes and documents pursuant to corporation statutes, security instruments, security registration documents and contracts of all kinds, closing documents and statements of account, and to attend on filings.

Wills, Trusts and Estates – A lawyer may permit a non-lawyer to attend to all matters of routine administration, to assist in more complex matters, to collect information, draft routine documents and correspondence, to prepare income tax returns, to calculate such taxes, to draft executors’ accounts and statements of account, and to attend to filings.

[New- November 2007]

Electronic Registration of Title Documents

(3) When a lawyer has a personalized specially encrypted diskette to access the system for the electronic registration of title documents (“e-reg”™), the lawyer

- (a) shall not permit others, including a non-lawyer employee, to use the lawyer’s diskette, and
- (b) shall not disclose his or her personalized e-reg™ pass phrase to others.

(4) When a non-lawyer employed by a lawyer has a personalized specially encrypted diskette to access the system for the electronic registration of title documents, the lawyer shall ensure that the non-lawyer

- (a) does not permit others to use the diskette, and
- (b) does not disclose his or her personalized e-reg™ pass phrase to others.

Commentary

The implementation across Ontario of a system for the electronic registration of title documents imposes special responsibilities on lawyers and others using the system. Each person in a law office who accesses the e-reg™ system must have a personalized specially encrypted diskette and personalized e-reg™ pass phrase. The integrity and security of the system is achieved, in part, by its maintaining a record of those using the system for any transactions. Moreover, under the system, only lawyers entitled to practise law may make certain prescribed statements. Statements professing compliance with law without registration of supporting documents may be made only by lawyers in good standing. Only lawyers entitled to practise law may approve electronic documents containing these statements. It is, therefore, important that lawyers should maintain and ensure the security and the exclusively personal use of the personalized specially encrypted diskette used to access the system and the personalized electronic registration pass phrase. When in a real estate practice it is permissible for a lawyer to delegate responsibilities to a non-lawyer who has a personalized specially encrypted diskette and a personalized electronic registration pass phrase, the lawyer should ensure that the non-lawyer maintains and understands the importance of maintaining the security of the personalized specially encrypted diskette and the pass phrase.

In real estate transactions using the e-reg™ system, a lawyer who approves the electronic registration of title documents by a non-lawyer is responsible for the content of any document that contains the electronic signature of the non-lawyer.

[Amended – November 2007]

Title Insurance

- (5) A lawyer shall not permit a non-lawyer to
- (a) provide advice to the client concerning any insurance, including title insurance, without supervision,
 - (b) present insurance options or information regarding premiums to the client without supervision,
 - (c) recommend one insurance product over another without supervision, and
 - (d) give legal opinions regarding the insurance coverage obtained.

[New - March 31, 2008]

Signing E-Reg™ Documents

- (6) A lawyer who electronically signs a document using the system for the electronic registration of title documents – e-reg™ – assumes complete professional responsibility for the document.

[New - March 31, 2008]

5.02 STUDENTS

Recruitment Procedures

5.02 (1) A lawyer shall observe the procedures of the Society about the recruitment of articling students and the engagement of summer students.

Duties of Principal

(2) A lawyer acting as a principal to a student shall provide the student with meaningful training and exposure to and involvement in work that will provide the student with knowledge and experience of the practical aspects of the law, together with an appreciation of the traditions and ethics of the profession.

Duties of Articling Student

(3) An articling student shall act in good faith in fulfilling and discharging all the commitments and obligations arising from the articling experience.

5.03 SEXUAL HARASSMENT

Definition

5.03 (1) In this rule, sexual harassment is one incident or a series of incidents involving unwelcome sexual advances, requests for sexual favours, or other verbal or physical conduct of a sexual nature

- (a) when such conduct might reasonably be expected to cause insecurity, discomfort, offence, or humiliation to the recipient(s) of the conduct,
- (b) when submission to such conduct is made implicitly or explicitly a condition for the provision of professional services,
- (c) when submission to such conduct is made implicitly or explicitly a condition of employment,
- (d) when submission to or rejection of such conduct is used as a basis for any employment decision (including, but not limited to, allocation of files, matters of promotion, raise in salary, job security, and benefits affecting the employee), or
- (e) when such conduct has the purpose or the effect of interfering with a person's work performance or creating an intimidating, hostile, or offensive work environment.

Commentary

Types of behaviour that constitute sexual harassment include, but are not limited to,

- (a) sexist jokes causing embarrassment or offence, or that are by their nature clearly embarrassing or offensive,
- (b) leering,
- (c) the display of sexually offensive material,
- (d) sexually degrading words used to describe a person,
- (e) derogatory or degrading remarks directed towards members of one sex or one's sexual orientation,
- (f) sexually suggestive or obscene comments or gestures,
- (g) unwelcome inquiries or comments about a person's sex life,
- (h) unwelcome sexual flirtations, advances, or propositions,
- (i) persistent unwanted contact or attention after the end of a consensual relationship,
- (j) requests for sexual favours,
- (k) unwanted touching,
- (l) verbal abuse or threats, and
- (m) sexual assault.

[Amended - January 2009]

Sexual harassment can occur in the form of behaviour by men towards women, between men, between women, or by women towards men.

Prohibition on Sexual Harassment

- (2) A lawyer shall not sexually harass a colleague, a staff member, a client, or any other person.

5.04 DISCRIMINATION**Special Responsibility**

5.04 (1) A lawyer has a special responsibility to respect the requirements of human rights laws in force in Ontario and, specifically, to honour the obligation not to discriminate on the grounds of race, ancestry, place of origin, colour, ethnic origin, citizenship, creed, sex, sexual orientation, gender identity, gender expression, age, record of offences (as defined in the Ontario Human Rights Code), marital status, family status, or disability with respect to professional employment of other lawyers, articulated students, or any other person or in professional dealings with other licensees or any other person.

[Amended – June 2007]

Commentary

The Society acknowledges the diversity of the community of Ontario in which lawyers serve and expects them to respect the dignity and worth of all persons and to treat all persons equally without discrimination.

This rule sets out the special role of the profession to recognize and protect the dignity of individuals and the diversity of the community in Ontario.

Rule 5.04 will be interpreted according to the provisions of the Ontario Human Rights Code and related case law.

The Ontario Human Rights Code defines a number of grounds of discrimination listed in rule 5.04. For example,

Age is defined as an age that is eighteen years or more.

[Amended - January 2009]

Disability is broadly defined in s. 10 of the Code to include both physical and mental disabilities.

[Amended - January 2009]

Family status is defined as the status of being in a parent-and-child relationship.

Marital status is defined as the status of being married, single, widowed, divorced, or separated and includes the status of living with a person in a conjugal relationship outside marriage.

[Amended - January 2009]

Record of offences is defined such that a prospective employer may not discriminate on the basis of a pardoned criminal offence (a pardon must have been granted under the Criminal Records Act (Canada) and not revoked) or provincial offences.

The right to equal treatment without discrimination because of sex includes the right to equal treatment without discrimination because a woman is or may become pregnant.

There is no statutory definition of discrimination. Supreme Court of Canada jurisprudence defines discrimination as including

- (a) Differentiation on prohibited grounds that creates a disadvantage. Lawyers who refuse to hire employees of a particular race, sex, creed, sexual orientation, etc. would be differentiating on the basis of prohibited grounds.

[Amended - January 2009]

- (b) Adverse effect discrimination. An action or policy that is not intended to be discriminatory can result in an adverse effect that is discriminatory. If the application of a seemingly "neutral" rule or policy creates an adverse effect on a group protected by rule 5.04, there is a duty to accommodate. For example, while a requirement that all articling students have a driver's licence to permit them to travel wherever their job requires may seem reasonable, that requirement should only be imposed if driving a vehicle is an essential requirement for the position. Such a requirement may have the effect of excluding from employment persons with disabilities that prevent them from obtaining a licence.

[Amended - January 2009]

Human rights law in Ontario includes as discrimination, conduct which, though not intended to discriminate, has an adverse impact on individuals or groups on the basis of the prohibited grounds. The Ontario Human Rights Code requires that the affected individuals or groups must be accommodated unless to do so would cause undue hardship.

A lawyer should take reasonable steps to prevent or stop discrimination by any staff or agent who is subject to the lawyer's direction or control.

Ontario human rights law excepts from discrimination special programs designed to relieve disadvantage for individuals or groups identified on the basis of the grounds noted in the Code.

In addition to prohibiting discrimination, rule 5.04 prohibits harassment on the ground of race, ancestry, place of origin, colour, ethnic origin, citizenship, creed, sex, sexual orientation, gender identity, gender expression, age, record of offences, marital status, family status, or disability. Harassment by superiors, colleagues, and co-workers is also prohibited.

[Amended - January 2009]

Harassment is defined as "engaging in a course of vexatious comment or conduct that is known or ought reasonably to be known to be unwelcome" on the basis of any ground set out in rule 5.04. This could include, for example, repeatedly subjecting a client or colleague to jokes based on race or creed.

Services

- (2) A lawyer shall ensure that no one is denied services or receives inferior service on the basis of the grounds set out in this rule.

Employment Practices

- (3) A lawyer shall ensure that his or her employment practices do not offend this rule.

Commentary

Discrimination in employment or in the provision of services not only fails to meet professional standards, it also violates the Ontario Human Rights Code and related equity legislation.

In advertising a job vacancy, an employer may not indicate qualifications by a prohibited ground of discrimination. However, where discrimination on a particular ground is permitted because of an exception under the Ontario Human Rights Code, such questions may be raised at an interview. For example, if an employer has an anti-nepotism policy, the employer may inquire about the applicant's possible relationship to another employee as that employee's spouse, child or parent. This is in contrast to questions about applicant's marital status by itself. Since marital status has no relevance to employment within a law firm, questions about marital status should not be asked.

[Amended - January 2009]

An employer should consider the effect of seemingly "neutral" rules. Some rules, while applied to everyone, can bar entry to the firm or pose additional hardships on employees of one sex or of a particular creed, ethnic origin, marital or family status, or on those who have (or develop) disabilities. For example, a law office may have a written or unwritten dress code. It would be necessary to revise the dress code if it does not already accept that a head covering worn for religious reasons must be considered part of acceptable business attire. The maintenance of a rule with a discriminatory effect breaches rule 5.04 unless changing or eliminating the rule would cause undue hardship.

If an applicant cannot perform all or part of an essential job requirement because of a personal characteristic listed in the Ontario Human Rights Code, the employer has a duty to accommodate. Only if the applicant cannot do the essential task with reasonable accommodation may the employer refuse to hire on this basis. A range of appropriate accommodation measures may be considered. An accommodation is considered reasonable unless it would cause undue hardship.

The Supreme Court of Canada has confirmed that what is required is equality of result, not just of form. Differentiation can result in inequality, but so too can the application of the same rule to everyone, without regard for personal characteristics and circumstances. Equality of result requires the accommodation of differences that arise from the personal characteristics cited in rule 5.04.

The nature of accommodation as well as the extent to which the duty to accommodate might apply in any individual case are developing areas of human rights law. However, the following principles are well established.

If a rule, requirement, or expectation creates difficulty for an individual because of factors related to the personal characteristics noted in rule 5.04, the following obligations arise:

The rule, requirement or expectation must be examined to determine whether it is "reasonable and *bona fide*." If the rule, requirement, or expectation is not imposed in good faith and is not strongly and logically connected to a business necessity, it cannot be maintained. There must be objectively verifiable evidence linking the rule, requirement, or expectation with the operation of the business.

If the rule, requirement, or expectation is imposed in good faith and is strongly logically connected to a business necessity, the next step is to consider whether the individual who is disadvantaged by the rule can be accommodated.

The duty to accommodate operates as both a positive obligation and as a limit to obligation. Accommodation must be offered to the point of undue hardship. Some hardship must be tolerated to promote equality; however, if the hardship occasioned by the particular accommodation at issue is "undue," that accommodation need not be made.

Rule 6 Relationship to the Society and Other Lawyers

6.01 RESPONSIBILITY TO THE PROFESSION GENERALLY

Integrity

6.01 (1) A lawyer shall conduct himself or herself in such a way as to maintain the integrity of the profession.

Commentary

Integrity is the fundamental quality of any person who seeks to practise as a lawyer. If a client has any doubt about his or her lawyer's trustworthiness, the essential element in the true lawyer-client relationship will be missing. If integrity is lacking, the lawyer's usefulness to the client and reputation within the profession will be destroyed regardless of how competent the lawyer may be.

Public confidence in the administration of justice and in the legal profession may be eroded by a lawyer's irresponsible conduct. Accordingly, a lawyer's conduct should reflect credit on the legal profession, inspire the confidence, respect and trust of clients and the community, and avoid even the appearance of impropriety.

[Amended – June 2007]

Meeting Financial Obligations

(2) A lawyer shall promptly meet financial obligations incurred in the course of practice on behalf of clients unless, before incurring such an obligation, the lawyer clearly indicates in writing to the person to whom it is to be owed that it is not to be a personal obligation.

[Amended - January 2009]

Commentary

In order to maintain the honour of the Bar, lawyers have a professional duty (quite apart from any legal liability) to meet financial obligations incurred, assumed, or undertaken on behalf of clients unless, the lawyer clearly indicates otherwise in advance.

[Amended - January 2009]

When a lawyer retains a consultant, expert, or other professional, the lawyer should clarify the terms of the retainer in writing, including specifying the fees, the nature of the services to be provided, and the person responsible for payment. If the lawyer is not responsible for the payment of the fees, the lawyer should help in making satisfactory arrangements for payment if it is reasonably possible to do so.

If there is a change of lawyer, the lawyer who originally retained a consultant, expert, or other professional should advise him or her about the change and provide the name, address, telephone number, fax number, and e-mail address of the new lawyer.

Duty to Report Misconduct

(3) A lawyer shall report to the Society, unless to do so would be unlawful or would involve a breach of solicitor-client privilege,

- (a) the misappropriation or misapplication of trust monies,
- (b) the abandonment of a law or legal services practice,
- (c) participation in serious criminal activity related to a licensee's practice,
- (d) the mental instability of a licensee of such a serious nature that the licensee's clients are likely to be severely prejudiced, and
- (e) any other situation where a licensee's clients are likely to be severely prejudiced.

[Amended – June 2007]

Commentary

Unless a licensee who departs from proper professional conduct is checked at an early stage, loss or damage to clients or others may ensue. Evidence of minor breaches may, on investigation, disclose a more serious situation or may indicate the commencement of a course of conduct that may lead to serious breaches in the future. It is, therefore, proper (unless it is privileged or otherwise unlawful) for a lawyer to report to the Society any instance involving a breach of these rules or the rules governing paralegals. If a lawyer is in any doubt whether a report should be made, the lawyer should consider seeking the advice of the Society directly or indirectly (e.g., through another lawyer).

Nothing in this paragraph is meant to interfere with the traditional solicitor-client relationship. In all cases the report must be made *bona fide* without malice or ulterior motive.

[Amended – June 2007]

Often, instances of improper conduct arise from emotional, mental, or family disturbances or substance abuse. Lawyers who suffer from such problems should be encouraged to seek assistance as early as possible. The Society supports Homewood Human Solutions (HHS), and similar support services that are committed to the provision of confidential counselling for licensees. Therefore, lawyers acting in the capacity of peer counsellors for HHS, the Ontario Lawyers' Assistance Program (OLAP) or corporations providing similar support services will not be called by the Society or by any investigation committee to testify at any conduct, capacity, or competence hearing without the consent of the lawyer from whom the information was received. Notwithstanding the above, a lawyer counselling another lawyer has an ethical obligation to report to the Society upon learning that the lawyer being assisted is engaging in or may in the future engage in serious misconduct or criminal activity related to the lawyer's practice. The Society cannot countenance such conduct regardless of a lawyer's attempts at rehabilitation.

[Amended – January 2013]

Encouraging Client to Report Dishonest Conduct

(4) A lawyer shall attempt to persuade a client who has a claim against an apparently dishonest licensee to report the facts to the Society before pursuing private remedies.

(5) If the client refuses to report his or her claim against an apparently dishonest licensee to the Society, the lawyer shall inform the client of the policy of the Compensation Fund and shall obtain instructions in writing to proceed with the client's claim without notice to the Society.

(6) A lawyer shall inform a client of the provision of the *Criminal Code of Canada* dealing with the concealment of an indictable offence in return for an agreement to obtain valuable consideration (section 141).

(7) If the client wishes to pursue a private agreement with the apparently dishonest lawyer, the lawyer shall not continue to act if the agreement constitutes a breach of section 141 of the *Criminal Code of Canada*.

[Amended – June 2007]

Duty to Report Certain Offences

(8) If a lawyer is charged with an offence described in By-law 8 of the Society, he or she shall inform the Society of the charge and of its disposition in accordance with the By-law.

[Amended – June 2007]

Commentary

By-law 8 relates to the reporting of serious criminal charges under the *Criminal Code* and charges under other Acts that bring into question the honesty of a lawyer or that relate to a lawyer's practice of law. Such a charge may be a red flag that clients may need protection. The Society must be in a position to determine what, if any, action is required by it if a lawyer is charged with an offence described in By-law 8 and what, if any, action is required if the lawyer is found guilty.

[Amended - June 2007]

6.02 RESPONSIBILITY TO THE SOCIETY

Communications from the Society

6.02 A lawyer shall reply promptly to any communication from the Society.

6.03 RESPONSIBILITY TO LAWYERS AND OTHERS

Courtesy and Good Faith

6.03 (1) A lawyer shall be courteous, civil, and act in good faith with all persons with whom the lawyer has dealings in the course of his or her practice.

Commentary

The public interest demands that matters entrusted to a lawyer be dealt with effectively and expeditiously, and fair and courteous dealing on the part of each lawyer engaged in a matter will contribute materially to this end. The lawyer who behaves otherwise does a disservice to the client, and neglect of the rule will impair the ability of lawyers to perform their function properly.

Any ill feeling that may exist or be engendered between clients, particularly during litigation, should never be allowed to influence lawyers in their conduct and demeanour toward other legal practitioners or the parties. The presence of personal animosity between legal practitioners involved in a matter may cause their judgment to be clouded by emotional factors and hinder the proper resolution of the matter. Personal remarks or personally abusive tactics interfere with the orderly administration of justice and have no place in our legal system.

A lawyer should avoid ill-considered or uninformed criticism of the competence, conduct, advice, or charges of other legal practitioners, but should be prepared, when requested, to advise and represent a client in a complaint involving another legal practitioner.

[Amended – June 2009]

(2) A lawyer shall agree to reasonable requests concerning trial dates, adjournments, the waiver of procedural formalities, and similar matters that do not prejudice the rights of the client.

(3) A lawyer shall avoid sharp practice and shall not take advantage of or act without fair warning upon slips, irregularities, or mistakes on the part of other legal practitioners not going to the merits or involving the sacrifice of a client's rights.

(4) A lawyer shall not use a tape recorder or other device to record a conversation between the lawyer and a client or another legal practitioner, even if lawful, without first informing the other person of the intention to do so.

[Amended - June 2009]

Communications

(5) A lawyer shall not in the course of professional practice send correspondence or otherwise communicate to a client, another legal practitioner, or any other person in a manner that is abusive, offensive, or otherwise inconsistent with the proper tone of a professional communication from a lawyer.

(6) A lawyer shall answer with reasonable promptness all professional letters and communications from other legal practitioners that require an answer, and a lawyer shall be punctual in fulfilling all commitments.

Communications with a represented person

(7) Subject to subrules (7.1) and (8), if a person is represented by a legal practitioner in respect of a matter, a lawyer shall not, except through or with the consent of the legal practitioner,

[Amended – September 2011]

(a) approach or communicate or deal with the person on the matter, or

(b) attempt to negotiate or compromise the matter directly with the person.

[Amended – June 2009]

(7.1) Subject to subrule (8), if a person is receiving legal services from a legal practitioner under a limited scope retainer on a particular matter, a lawyer may, without the consent of the legal practitioner, approach, communicate or deal directly with the person on the matter, unless the lawyer receives written notice of the limited nature of the legal services being provided by the legal practitioner and the approach, communication or dealing falls within the scope of the limited scope retainer.

[New – September 2011]

Second Opinions

(8) A lawyer who is not otherwise interested in a matter may give a second opinion to a person who is represented by a legal practitioner with respect to that matter.

[Amended - June 2009]

Commentary

Subrule (7) applies to communications with any person, whether or not a party to a formal adjudicative proceeding, contract, or negotiation, who is represented by a legal practitioner concerning the matter to which the communication relates. A lawyer may communicate with a represented person concerning matters outside the representation. This subrule does not prevent parties to a matter from communicating directly with each other.

The prohibition on communications with a represented person applies only where the lawyer knows that the person is represented in the matter to be discussed. This means that the lawyer has actual knowledge of the fact of the representation, but actual knowledge may be inferred from the circumstances. This inference may arise where there is substantial reason to believe that the person with whom communication is sought is represented in the matter to be discussed. Thus, a lawyer cannot evade the requirement of obtaining the consent of the other legal practitioner by closing his or her eyes to the obvious.

Where notice as described in subrule (7.1) has been provided to a lawyer for an opposing party, the lawyer is required to communicate with the legal practitioner who is representing the person under a limited scope retainer, but only to the extent of the matter or matters within the scope of the retainer as identified by the legal practitioner. The lawyer may communicate with the person on matters outside of the limited scope retainer.

[New – September 2011]

Subrule (8) deals with circumstances in which a client may wish to obtain a second opinion from another lawyer. While a lawyer should not hesitate to provide a second opinion, the obligation to be competent and to render competent services requires that the opinion be based on sufficient information. In the case of a second opinion, such information may include facts that can be obtained only through consultation with the first legal practitioner involved. The lawyer should advise the client accordingly, and if necessary consult the first legal practitioner unless the client instructs otherwise.

[Amended - June 2009]

Communications with a represented corporation or organization

(9) A lawyer retained to act on a matter involving a corporation or organization that is represented by a legal practitioner in respect of that matter shall not, without the legal practitioner's consent or unless otherwise authorized or required by law, communicate, facilitate communication with or deal with a person

- (a) who is a director or officer, or another person who is authorized to act on behalf of the corporation or organization,
- (b) who is likely involved in decision-making for the corporation or organization or who provides advice in relation to the particular matter,
- (c) whose act or omission may be binding on or imputed to the corporation or organization for the purposes of its liability, or

(d) who supervises, directs or regularly consults with the legal practitioner and who makes decisions based on the legal practitioner's advice.

(9.1) If a person described in subrule (9) (a), (b), (c) or (d) is represented in the matter by a legal practitioner, the consent of the legal practitioner is sufficient to allow a lawyer to communicate, facilitate communication with or deal with the person.

(9.2) In subrule (9), "organization" includes a partnership, limited partnership, association, union, fund, trust, co-operative, unincorporated association, sole proprietorship and a government department, agency, or regulatory body.

Commentary

The purpose of subrules 6.03 (9), (9.1) and (9.2) is to protect the lawyer-client relationship of corporations and other organizations by specifying persons with whom a lawyer may not communicate, facilitate communication or deal if the lawyer represents a client in a matter involving a corporation or organization and the corporation or organization is represented by a legal practitioner. They apply to litigation as well as to transactional and other non-litigious matters. A lawyer may communicate with a person in a corporation or other organization, other than those referred to in subrule (9), even if the corporation or organization is represented by a legal practitioner. These subrules are intended to advance the public policy of promoting efficient discovery and favours the revelation of the truth by addressing the circumstances in which a corporation or organization is allowed to prevent the disclosure of relevant evidence. They are not intended to protect a corporation or organization from the revelation of prejudicial facts.

Generally, subrule 6.03 (9) precludes contact only with those actively involved in a matter. For example, in a litigation matter, it does not preclude contact with mere witnesses. Further, communications with persons within the corporation or organization are not barred merely by virtue of the possibility that their information might constitute "admissions" in the evidentiary sense. To proscribe contact with any person within a corporation or organization on the basis that he or she may make a statement that might be admitted in evidence against the corporation or organization would be overly protective of the corporation or organization and too restrictive of an opposing counsel's ability to contact and interview potential witnesses. Fairness does not require the presence of a corporation's or organization's legal practitioner whenever a person within the corporation or organization may make a statement admissible in evidence against it.

Subrule 6.03 (9) prohibits communications by a lawyer for another person or entity concerning the matter in question with persons likely involved in the decision-making process about the matter. These individuals are so closely identified with the interests of the corporation or organization as to be indistinguishable from it. They would have the authority to commit the corporation or organization to a position with regard to the subject matter of the representation. This person would have such authority as a corporate officer or because for some other reason the law cloaks him or her with authority, including making decisions affecting the outcome of the matter, including litigation decisions, or because his or her duties include answering the type of inquiries posed. These individuals include those to whom the organization's legal practitioner looks for decisions with respect to the matter.

Thus, subject to the exceptions set out in it, subrule 6.03 (9) would prohibit contact with those persons who exercise managerial responsibility in the matter, who are alleged to have committed the wrongful acts at issue in the litigation, or who have authority on behalf of the corporation to make decisions about the course of the litigation.

A lawyer is not prohibited from communicating with a person in a litigation matter unless the person's act or omission is believed, on reasonable grounds, to be so central and obvious to a determination of liability that the person's conduct may be imputed to the corporation or organization. If it is not reasonably likely that the person is an active participant for liability purposes or a decision-maker respecting the outcome of the matter, nothing in subrule 6.03 (9) precludes informal contact with such a person.

An individual who regularly consults with the corporation's or organization's legal practitioner concerning a matter will not necessarily be a person who also directs the legal practitioner. In some large corporations and organizations, some management personnel may direct or control counsel for some matters but not others. The mere fact that a person holds a management position does not trigger the protections of the rule.

A person who is simply interviewed or questioned by a corporation's or organization's legal practitioner about a matter to gather factual information does not "regularly consult" with the legal practitioner. While a person's duties within a corporation or organization may include answering litigation-related inquiries, this rule does not prohibit an inquiry of this person by opposing counsel that is related to the person's knowledge of the historical aspects leading up to the alleged injury or damage which give rise to the subject matter of the representation.

The prohibition on communications with a represented corporation or organization applies only where the lawyer knows that the entity is represented in the matter to be discussed. This means that the lawyer has actual knowledge of the fact of the representation, but actual knowledge may be inferred from the circumstances. This inference may arise where it is reasonable to believe that the entity with whom communication is sought is represented in the matter to be discussed. Thus, a lawyer cannot evade the requirement of obtaining the consent of counsel by closing his or her eyes to the obvious.

Subrule 6.03 (9) does not prevent a lawyer from communicating with employees or agents concerning matters outside the representation.

As a practical matter, to avoid eliciting privileged or confidential information and ensure that the communications are proper, the lawyer should identify himself or herself as representing an interested party in the matter when approaching a potential witness or other person in the corporation or organization. The lawyer should also advise the person whom he or she is hoping to interview that they are free to decline to respond. See also rule 4.03 (Interviewing Witnesses).

A lawyer representing a corporation or other organization may also be retained to represent employees of the corporation or organization. In such circumstances, the lawyer must comply with the requirements of rule 2.04 (Avoidance of Conflicts of Interest), and particularly subrules 2.04(6) through (10). A lawyer must not represent that he or she acts for an employee of a client, unless the requirements of rule 2.04 have been complied with, and must not be retained by an employee solely for the purpose of sheltering factual information from another party.

If the representation by the legal practitioner described in subrule (9.1) is only with respect to the personal interests of the individual, consent of the corporation's or organization's counsel would be required with respect to the corporation's or organization's interests.

Unions – Subrule 6.03 (9) is not intended to prohibit a lawyer for a union from contacting employees of a represented corporation or organization in circumstances where proper representation of the union's interests requires communication with certain employees who are the holders of information. For example, a lawyer retained by a union with respect to a termination grievance in which the union alleges that the employer, who is represented, has breached the collective agreement, is not prohibited from contacting employees who may have information on the termination or events leading up to the termination.

Similarly, a management-side labour lawyer would not offend the subrule if the lawyer contacted an employee who is a member of a bargaining unit represented by a legal practitioner.

Governments –The concept of the individual who may “bind the organization” may not apply in the government context in the same way as in the corporate environment. For government departments, ministries and similar groups, the rule is intended to cover individuals who participate in a significant way in decision-making or who provide advice in relation to a particular matter.

In government, because of its complexity and despite its hierarchy, it may not always be clear to whom a lawyer is authorized to communicate on a particular matter and who is involved in the decision-making process. The roles of these individuals may not be discrete, as different officials at different levels in different departments provide advice and recommendations. For example, in a contract negotiation, employees from one ministry may be directly involved, but those from another ministry may also have sensitive information relevant to the matter that may require protection under subrule 6.03 (9).

In addition, the legal branch at the particular ministry is usually considered to always be “retained”. There may be circumstances where the only appropriate action is to contact the legal branch. In all cases, appropriate judgment must be exercised

In general, the subrule is not intended to:

- a. constrain lawyers who wish to contact government officials for a discussion of policy or similar matters on behalf of a client;
- b. affect access to information requests under such legislation as the *Freedom of Information and Protection of Privacy Act* (Ontario) or the federal *Access to Information Act*, including situations where a litigant has named the provincial or federal Crown, respectively, as a defendant; or
- c. affect the exercise of the duties of public servants under the *Public Service of Ontario Act, 2006* with respect to disclosure of information.

Municipalities – Similar to government, in the municipal context, it is recognized that no one individual has the authority to bind the municipality. Each councillor is representative of the entire council for the purposes of decision-making. Subrule 6.03 (9), for example, would not permit the lawyer for an applicant on a controversial planning matter that is before the Ontario Municipal Board to contact individual members of council on the matter without the consent of the municipal solicitor.

The subrule is not intended to:

- a. prevent lawyers appearing before council on a client’s behalf and making representations to a public meeting held pursuant to the *Planning Act*;
- b. affect access to information requests under such legislation as the *Municipal Freedom of Information and Protection of Privacy Act*, including situations where a litigant has named the municipality as a defendant; or
- c. restrain communications by persons having dealings or negotiations, including lobbying, with municipalities with the elected representatives (councillors) or municipal staff.

[Amended – November 2010]

Undertakings

(10) A lawyer shall not give an undertaking that cannot be fulfilled and shall fulfill every undertaking given.

Commentary

Undertakings should be written or confirmed in writing and should be absolutely unambiguous in their terms. If a lawyer giving an undertaking does not intend to accept personal responsibility, this should be stated clearly in the undertaking itself. In the absence of such a statement, the person to whom the undertaking is given is entitled to expect that the lawyer giving it will honour it personally. The use of such words as “on behalf of my client” or “on behalf of the vendor” does not relieve the lawyer giving the undertaking of personal responsibility.

In real estate transactions using the system for the electronic registration of title documents (“e-reg”TM), the lawyers acting for the parties (with their consent) will sign and be bound by a Document Registration Agreement that will contain undertakings. When entering into a Document Registration Agreement, a lawyer should have regard to and strictly comply with his or her obligations under subrule (10).

[Amended - November 2007]

6.04 OUTSIDE INTERESTS AND THE PRACTICE OF LAW**Maintaining Professional Integrity and Judgment**

6.04 (1) A lawyer who engages in another profession, business, or occupation concurrently with the practice of law shall not allow such outside interest to jeopardize the lawyer's professional integrity, independence, or competence.

(2) A lawyer shall not allow involvement in an outside interest to impair the exercise of the lawyer's independent judgment on behalf of a client.

Commentary

The term “outside interest” covers the widest possible range of activities and includes activities that may overlap or be connected with the practice of law such as engaging in the mortgage business, acting as a director of a client corporation, or writing on legal subjects, as well as activities not so connected such as, for example, a career in business, politics, broadcasting or the performing arts. In each case the question of whether and to what extent the lawyer may be permitted to engage in the outside interest will be subject to any applicable law or rule of the Society.

Where the outside interest is not related to the legal services being performed for clients, ethical considerations will usually not arise unless the lawyer's conduct might bring the lawyer or the profession into disrepute or impair the lawyer's competence as, for example, where the outside interest might occupy so much time that clients' interests would suffer because of inattention or lack of preparation.

6.05 THE LAWYER IN PUBLIC OFFICE

Standard of Conduct

6.05 (1) A lawyer who holds public office shall, in the discharge of official duties, adhere to standards of conduct as high as those that these rules require of a lawyer engaged in the practice of law.

Commentary

The rule applies to a lawyer who is elected or appointed to a legislative or administrative office at any level of government, regardless of whether the lawyer attained the office because of professional qualifications. Because such a lawyer is in the public eye, the legal profession can more readily be brought into disrepute by a failure to observe its ethical standards.

Generally, the Society will not be concerned with the way in which a lawyer holding public office carries out official responsibilities, but conduct in office that reflects adversely upon the lawyer's integrity or professional competence may be the subject of disciplinary action.

Conflict of Interest

(2) A lawyer who holds public office shall not allow professional or personal interests to conflict with the proper discharge of official duties.

Commentary

The lawyer holding part-time public office must not accept any private legal business where duty to the client will, or may, conflict with official duties. If some unforeseen conflict arises, the lawyer should terminate the professional relationship, explaining to the client that official duties must prevail. The lawyer who holds a full-time public office will not be faced with this sort of conflict but must nevertheless guard against allowing independent judgment in the discharge of official duties to be influenced either by the lawyer's own interest, that of some person closely related to or associated with the lawyer, that of former or prospective clients, or former or prospective partners or associates.

Subject to any special rules applicable to the particular public office, the lawyer holding the office who sees that there is a possibility of a conflict of interest should declare the possible conflict at the earliest opportunity, and not take part in any consideration, discussion or vote concerning the matter in question.

(3) If there may be a conflict of interest, a lawyer who holds or who held public office shall not represent clients or advise them in contentious cases that the lawyer has been concerned with in an official capacity.

Appearances before Official Bodies

(4) Subject to the rules of the official body, when a lawyer or any of his or her partners or associates is a member of an official body, the lawyer shall not appear professionally before that body.

Commentary

Subject to the rules of the official body, a partner or associate may appear professionally before a committee of the official body if the partner or associate is not a member of that committee, provided that in respect of matters in which the partner or associate appears, the lawyer does not sit on the committee, take part in the discussions of the committee's recommendations, or vote upon them.

Conduct after Leaving Public Office

(5) A lawyer who has left public office shall not act for a client in connection with any matter for which the lawyer had substantial responsibility before leaving public office.

Commentary

It would not be improper for the lawyer to act professionally in the matter on behalf of the public body in question.

A lawyer who has acquired confidential information by virtue of holding public office should keep the information confidential and not divulge or use it, notwithstanding that the lawyer has ceased to hold such office.

6.06 PUBLIC APPEARANCES AND PUBLIC STATEMENTS

Communication with the Public

6.06 (1) Provided that there is no infringement of the lawyer's obligations to the client, the profession, the courts, or the administration of justice, a lawyer may communicate information to the media and may make public appearances and statements.

Commentary

Lawyers in their public appearances and public statements should conduct themselves in the same manner as with their clients, their fellow legal practitioners, and tribunals. Dealings with the media are simply an extension of the lawyer's conduct in a professional capacity. The mere fact that a lawyer's appearance is outside of a courtroom, a tribunal, or the lawyer's office does not excuse conduct that would otherwise be considered improper.

A lawyer's duty to the client demands that, before making a public statement concerning the client's affairs, the lawyer must first be satisfied that any communication is in the best interests of the client and within the scope of the retainer.

Public communications about a client's affairs should not be used for the purpose of publicizing the lawyer and should be free from any suggestion that the lawyer's real purpose is self-promotion or self-aggrandizement.

Given the variety of cases that can arise in the legal system, particularly in civil, criminal, and administrative proceedings, it is impossible to set down guidelines that would anticipate every possible circumstance. Circumstances will arise where the lawyer should have no contact with the media and other cases where the lawyer is under a specific duty to contact the media to properly serve the client - the latter situation will arise more often in the context of administrative boards and tribunals where a particular tribunal is an instrument of government policy and hence is susceptible to public opinion.

A lawyer is often involved in a non-legal setting where contact is made with the media about publicizing such things as fund-raising, expansion of hospitals or universities, programs of public institutions or political organizations, or in acting as a spokesperson for organizations that, in turn, represent particular racial, religious, or other special interest groups. This is a well-established and completely proper role for the lawyer to play in view of the obvious contribution it makes to the community.

A lawyer is often called upon to comment publicly on the effectiveness of existing statutory or legal remedies, on the effect of particular legislation or decided cases, or to offer an opinion about cases that have been instituted or are about to be instituted. This, too, is an important role the lawyer can play to assist the public in understanding legal issues.

[Amended – June 2009]

A lawyer is often involved as advocate for interest groups whose objective is to bring about changes in legislation, governmental policy, or even a heightened public awareness about certain issues. This is also an important role that the lawyer can be called upon to play.

Lawyers should be aware that when they make a public appearance or give a statement they will ordinarily have no control over any editing that may follow or the context in which the appearance or statement may be used, or under what headline it may appear.

Interference with Right to Fair Trial or Hearing

(2) A lawyer shall not communicate information to the media or make public statements about a matter before a tribunal if the lawyer knows or ought to know that the information or statement will have a substantial likelihood of materially prejudicing a party's right to a fair trial or hearing.

Commentary

Fair trials and hearings are fundamental to a free and democratic society. It is important that the public, including the media, be informed about cases before courts and tribunals. The administration of justice benefits from public scrutiny. It is also important that a person's, particularly an accused person's, right to a fair trial or hearing not be impaired by inappropriate public statements made before the case has concluded.

6.07 PREVENTING UNAUTHORIZED PRACTICE**Preventing Unauthorized Practice**

6.07 (1) A lawyer shall assist in preventing the unauthorized practice of law and the unauthorized provision of legal services.

[Amended – June 2007]

Commentary

Statutory provisions against the practice of law and provision of legal services by unauthorized persons are for the protection of the public. Unauthorized persons may have technical or personal ability, but they are immune from control, regulation, and, in the case of misconduct, from discipline by the Society. Moreover, the client of a lawyer who is authorized to practise has the protection and benefit of the lawyer-client privilege, the lawyer's duty of secrecy, the professional standard of care that the law requires of lawyers, and the authority that the courts exercise over them. Other safeguards include professional liability insurance, rights with respect to the assessment of bills, rules respecting the handling of trust monies, and requirements for the maintenance of compensation funds.

Working With or Employing Unauthorized Persons

(2) Without the express approval of a committee of Convocation appointed for the purpose, a lawyer shall not retain, occupy office space with, use the services of, partner or associate with, or employ in any capacity having to do with the practice of law or provision of legal services any person who, in Ontario or elsewhere, has been disbarred and struck off the Rolls, has had his or her license to practise law or to provide legal services revoked, has been suspended, has had his or her license to practise law or to provide legal services suspended, has undertaken not to practise law or to provide legal services, or who has been involved in disciplinary action and been permitted to resign or to surrender his or her license to practise law or to provide legal services, and has not had his or her license restored.

[Amended – January 2008]

Practice by Suspended Lawyers Prohibited

(3) A lawyer whose license to practise law is suspended shall comply with the requirements of the By-laws and shall not

- (a) practice law
- (b) represent or hold himself or herself out as a person entitled to practise law, or
- (c) represent or hold himself or herself out as a person entitled to provide legal services.

[New – January 2008]

Commentary

Part II of By-Law 7.1 (Operational Obligations and Responsibilities) and Part II.1 of By-Law 9 (Financial Transactions and Records) set out the obligations of a lawyer whose license to practise law is suspended.

[Amended - May 2008]

Undertakings Not to Practise Law

- (4) A lawyer who gives an undertaking to the Law Society not to practise law shall not,
 - (a) practise law,
 - (b) represent or hold himself or herself out as a person entitled to practise law, or
 - (c) represent or hold himself or herself out as a person entitled to provide legal services.

[New – January 2008]

Undertakings to Practise Law Subject to Restrictions

- (5) A lawyer who gives an undertaking to the Law Society to restrict his or her practise shall comply with the undertaking.

[New – January 2008]

6.08 RETIRED JUDGES RETURNING TO PRACTICE

Definitions

- 6.08 (1) In this rule, “retired appellate judge” means a lawyer
 - (a) who was formerly a judge of the Supreme Court of Canada, the Court of Appeal for Ontario, or the Federal Court of Appeal,
 - (b) who has retired, resigned, or been removed from the Bench, and
 - (c) who has returned to practice.

[Amended - January 2009]

- (2) In this rule, “retired judge” means a lawyer
- (a) who was formerly a judge of the Federal Court, the Tax Court of Canada, the Supreme Court of Ontario, Trial Division, a County or District Court, the Ontario Court of Justice, or the Superior Court of Justice,
[Amended - January 2009]
 - (b) who has retired, resigned, or been removed from the Bench, and
 - (c) who has returned to practice.

Appearance as Counsel

- (3) A retired appellate judge shall not appear as counsel or advocate in any court, or in chambers, or before any administrative board or tribunal without the express approval of a committee of Convocation appointed for the purpose. This approval may only be granted in exceptional circumstances and may be restricted as the committee of Convocation sees fit.
- (4) A retired judge shall not appear as counsel or advocate
- (a) before the court on which the judge served or any lower court, and
 - (b) before any administrative board or tribunal over which the court on which the judge served exercised an appellate or judicial review jurisdiction

for a period of two years from the date of his or her retirement, resignation, or removal, without the express approval of a committee of Convocation, appointed for the purpose, which approval may only be granted in exceptional circumstances and may be restricted as the committee of Convocation sees fit.

6.09 ERRORS AND OMISSIONS

Informing Client of Error or Omission

- 6.09 (1) When, in connection with a matter for which a lawyer is responsible, the lawyer discovers an error or omission that is or may be damaging to the client and that cannot be rectified readily, the lawyer shall
- (a) promptly inform the client of the error or omission being careful not to prejudice any rights of indemnity that either of them may have under an insurance, client's protection or indemnity plan, or otherwise,
 - (b) recommend that the client obtain legal advice elsewhere concerning any rights the client may have arising from the error or omission, and
 - (c) advise the client that in the circumstances, the lawyer may no longer be able to act for the client.

Notice of Claim

(2) A lawyer shall give prompt notice of any circumstance that the lawyer may reasonably expect to give rise to a claim to an insurer or other indemnitor so that the client's protection from that source will not be prejudiced.

Commentary

Compulsory insurance imposes obligations on a lawyer, but these obligations must not impair the relationship and duties of the lawyer to the client. The insurer's rights must be preserved. There may well be occasions when a lawyer believes that certain actions or the failure to take action have made the lawyer liable for damages to the client when, in reality, no liability exists. Further, in every case a careful assessment will have to be made of the client's damages arising from the lawyer's negligence. Many factors will have to be taken into account in assessing the client's claim and damages. As soon as a lawyer becomes aware that an error or omission may have occurred, that may reasonably be expected to involve liability to the client for professional negligence, the lawyer should take the following steps.

[Amended - January 2009]

1. Immediately arrange an interview with the client and advise the client that an error or omission may have occurred, that may form the basis of a claim by the client against the lawyer.
2. Advise the client to obtain an opinion from an independent lawyer and that, in the circumstances, the first lawyer might no longer be able to act for the client.
3. Subject to rule 2.03 (Confidentiality), inform the insurer of the facts of the situation.
4. Co-operate fully and as expeditiously as possible with the insurer in the investigation and eventual settlement of the claim.
5. Make arrangements to pay that portion of the client's claim that is not covered by the insurance immediately upon completion of the settlement of the client's claim. This would include payment of the deductible under a policy of insurance in accordance with By-Law 6 (Professional Liability Insurance).

[Amended - January 2009]

Co-operation

(3) When a claim of professional negligence is made against a lawyer, he or she shall assist and co-operate with the insurer or other indemnitor to the extent necessary to enable the claim to be dealt with promptly.

Responding to Client's Claim

(4) If a lawyer is not indemnified for a client's errors and omissions claim or to the extent that the indemnity may not fully cover the claim, the lawyer shall expeditiously deal with the claim and shall not take unfair advantage that would defeat or impair the client's claim.

(5) In cases where liability is clear and the insurer or other indemnitor is prepared to pay its portion of the claim, a lawyer has a duty to pay the balance.

6.10 RESPONSIBILITY IN MULTI-DISCIPLINE PRACTICES

Compliance with these Rules

6.10 A lawyer in a multi-discipline practice shall ensure that non-licensee partners and associates comply with these rules and all ethical principles that govern a lawyer in the discharge of his or her professional obligations.

[Amended - June 2009]

6.11 DISCIPLINE

Disciplinary Authority

6.11 (1) A lawyer is subject to the disciplinary authority of the Society regardless of where the lawyer's conduct occurs.

Professional Misconduct

(2) The Society may discipline a lawyer for professional misconduct.

Conduct Unbecoming a Lawyer

(3) The Society may discipline a lawyer for conduct unbecoming a lawyer.

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Concordance

This Table of Concordance sets out changes to the *Rules of Professional Conduct* that came into effect on November 1, 2000 only. "Former Rule of Professional Conduct" refers to the rule that was in force prior to November 2000. As such, the Table does not include amendments made to the Rules after November 1, 2000. Please refer to the amendment history link on the website for amendments after November 1, 2000.

A revision or addition of new text to a rule or commentary is identified by the words "Revised" or "New", corresponding to the particular rule, subrule, commentary or specific paragraph of commentary.

Rule of Professional Conduct	Former Rule of Professional Conduct	Nature of Change
1.01		New
1.02 "associate"		New
1.02 "client"	Rule 5, Commentary 16.	
1.02 "client" Commentary		New
1.02 "conduct unbecoming a lawyer"	Rule 1, Footnote 3.	New. Based on ABA Model Code, Rule 8.4
1.02 "conduct unbecoming a lawyer" Commentary	Rule 1, Commentary 2 Rule 1, Commentary 3	
1.02 "consent"		New
1.02 "independent legal advice"		New, but see Rule 5, Commentary 9 (b)
1.02 "independent legal advice" Commentary	Rule 5, Commentary 9 (c).	
1.02 "independent legal representation"		New, but see Rule 5, Commentary 9 (a)
1.02 "interprovincial law firm"	Rule 22, para. 1	
1.02 "law firm"	Rule 29 (1) (Definition)	Revised
1.02 "lawyer"	Interpretation and Rule 29(1)	Revised
1.02 "member"	Rule 29 (1) (Definition)	
1.02 "professional misconduct"	Rule 1, Footnote 3.	New. Based on ABA Model Code, Rule 8.4
1.02 "society"	Interpretation	
1.02 "tribunal"		New

Concordance

Rule of Professional Conduct	Former Rule of Professional Conduct	Nature of Change
1.03 (1)	Foreword and Rule 1	New. Based on Alberta Code of Professional Conduct, Chapter 1, Statement of Principle and Chapter 3, Statement of Principle; Special Committee to Review the Rules of Professional Conduct - Structure of the Revised Rules, para. 1.1.
1.03 (2)	Interpretation	
2.01 (1)	Foreword	Revised Rule 2, Commentaries 1, 4, 5 and 8 deleted.
2.01 (1) Commentary	Rule 2, Commentary 10 Rule 3, Commentary 2 Rule 2, Commentary 6 - Rule 3, Commentary 3 Rule 3, Commentary 4 Rule 3, Commentary 9 Rule 2, Commentary 2 Rule 2, Commentary 7 Rule 2, Commentary 3	New for Multi-Discipline Practices Revised Rule 2 (b) deleted
2.01 (2)	Rule 2 (a)	Revised
2.01 (2) Commentary	Rule 2, Commentary 9	Revised
2.02 (1)	Rule 3	
2.02 (1) Commentary	Rule 3, Commentary 1	
2.02 (2)	Rule 3, Commentary 5 Rule 10, Commentary 6	
2.02 (3)	Rule 10, Commentary 6A	Revised
2.02 (4)	Rule 3, Commentary 8	Revised
2.02 (5)	Rule 3, Commentary 6	Revised
2.02 (5) Commentary	Rule 3, Commentary 6 Rule 3, Commentary 7	Revised Revised

Concordance

Rule of Professional Conduct	Former Rule of Professional Conduct	Nature of Change
2.02 (6)		New. Based on American Bar Association Model Code Rule 1.16
2.02 (6) Commentary		New. Based on American Bar Association Model Code Rule 1.16
2.02 (7)	Rule 26, Para. 1	Revised
2.02 (7) Commentary	Rule 26, Commentary 1	Revised
2.02 (8)	Rule 26, Para. 2	Revised
2.02 (9)	Rule 26, Commentary 2	Revised
2.02 (10)	Rule 30, Para. 1	
2.02 (10) Commentary	Rule 30, Commentary 1 Rule 30, Commentary 2	
2.02 (11)	Rule 30, Para. 2	
2.02 (12)	Rule 30, Para. 2	
2.02 (12) Commentary	Rule 30, Commentary 3	Revised
2.02 (13)	Rule 30, Para. 4	
2.03 (1)	Rule 4	Revised
2.03 (1) Commentary	Rule 4, Commentary 1 Rule 4, Commentary 2 Rule 4, Commentary 4 Rule 4, Commentary 3 Rule 4, Commentary 6 Rule 4, Commentary 7 Rule 4, Commentary 8 Rule 4, Commentary 9	Revised New
2.03 (2)	Rule 4, Commentary 10	Revised
2.03 (3)	Rule 4, Commentary 11	Revised
2.03 (3) Commentary		New
2.03 (4)	Rule 4, Commentary 12	Revised
2.03 (5)	Rule 4, Commentary 12	
2.03 (6)	Rule 4, Commentary 5	Revised

Concordance

Rule of Professional Conduct	Former Rule of Professional Conduct	Nature of Change
2.03 (6) Commentary	Rule 4, Commentary 5	Revised
2.04 (1)	Rule 5, Commentary 1	Rule 5, Commentary 12 deleted; but see rule 2.07 (1).
2.04 (1) Commentary	Rule 5, Commentary 3 Rule 5, Commentary 7	
2.04 (2)	Rule 5	Revised
2.04 (3)	Rule 5	Revised
2.04 (3) Commentary	Rule 5, Commentary 2 Rule 5, Commentary 4	Revised New Revised New
2.04 (4)	Rule 5, Commentary 13	Revised
2.04 (4) Commentary	Rule 5, Commentary 13	
2.04 (5)		New
2.04 (5) Commentary		New
2.04 (6)	Rule 5, Commentary 5	
2.04 (6) Commentary		New
2.04 (7)	Rule 5, Commentary 5	Revised
2.04 (7) Commentary	Rule 5, Commentary 5	Revised
2.04 (8)	Rule 5, Commentary 5	
2.04 (9)	Rule 5, Commentary 6	Revised
2.04 (9) Commentary	Rule 5, Commentary 11 Rule 5, Commentary 6	
2.04 (10)	Rule 5, Commentary 6	
2.04 (11)		New
2.04 (12)		New
2.04 (13)		New for multi-discipline practice.
2.04 (14)	Rule 5, Commentary 14	New. See Alberta Rules C 1, Rule 5, Commentary
2.04 (14) Commentary	Rule 5, Commentary 14	Revised
2.05 (1)	Rule 29 (1)	Revised

Concordance

Rule of Professional Conduct	Former Rule of Professional Conduct	Nature of Change
2.05 (1) Commentary	Rule 29, Commentary 2	Revised
2.05 (2)	Rule 29 (2)	
2.05 (3)	Rule 29 (3)	
2.05 (3) Commentary	Rule 29, Commentary 1	Revised
2.05 (4)	Rule 29 (4)	Revised
2.05 (4) Commentary	Rule 29, Commentary 3	
2.05 (5)		New
2.05 (6)	Rule 29 (5)	
2.05 (7)	Rule 29 (6)	
2.05 (8)	Rule 29 (7)	
2.05 (9)	Rule 29 (8)	Revised Rule 29, Commentary 3 deleted
2.05 (10)	Rule 29 (9)	Revised (in particular for multi-discipline practice).
2.05 (10) Commentary	Rule 29, Commentary 2 Rule 29, Commentary 3 Rule 29, Commentary 4	Revised
2.06 (1)	Rule 23, Para. 1	
2.06 (2)		New, but see Rule 5, Commentaries 8 and 10
2.06 (2) Commentary	Rule 5, Commentary 10 Rule 5, Commentary 17 Rule 5, Commentary 8	Revised
2.06 (3)	Rule 5, Commentary 9 (b)	
2.06 (4)	Rule 7, Para. 1	Revised. Rule 7, Commentary 3 deleted
2.06 (4) Commentary	Rule 7, Commentary 1 Rule 7, Para. 3	Revised Rule 7, Commentary 4 deleted Rule 7, Commentary 2 deleted
2.06 (5)	Rule 7, Para. 2	
2.06 (6)	Rule 23, Para. 5 Rule 23, Para. 2	Revised

Concordance

Rule of Professional Conduct	Former Rule of Professional Conduct	Nature of Change
2.06 (6) Commentary	Rule 23, Para. 7	Revised
2.06 (7)	Rule 23, Para. 3	
2.06 (8)	Rule 23, Para. 4 Rule 23, Para. 5	
2.06 (9)	Rule 23, Para. 6 (a)	Revised
2.06 (10)	Rule 23, Para. 6 (b)	Revised
2.07(1)	Rule 6	Revised
2.07 (1) Commentary	Rule 6, Commentary 1 Rule 6, Commentary 5	
2.07 (2)	Rule 6, Commentary 2	
2.07 (3)	Rule 6, Commentary 3	
2.07 (4)	Rule 6, Commentary 4	
2.07 (5)	Rule 6, Commentary 4	
2.07 (6)	Rule 6, Commentary 4	Revised
2.07 (6) Commentary	Rule 6, Commentary 6	
2.08 (1)	Rule 9 (a), (c)	Revised
2.08 (2)	Rule 9, Commentary 6	
2.08 (2) Commentary	Rule 9, Commentary 1 Rule 9, Commentary 8 Rule 9, Commentary 5 Rule 9, Commentary 2	Revised Rule 9, Commentary 9 deleted
2.08 (3)	Rule 9, Commentary 10	
2.08 (4)	Rule 9, Commentary 10	
2.08 (5)	Rule 9, Commentary 4	
2.08 (6)	Rule 9, Commentary 3	
2.08 (7)	Rule 9 (b)	Revised
2.08 (8)	Rule 9, Commentary 7	Revised
2.08 (9)	Rule 9, Commentary 7	Revised
2.08 (10)		New for multi-discipline practice.
2.08 (11)	Rule 9 (d)	

Concordance

Rule of Professional Conduct	Former Rule of Professional Conduct	Nature of Change
2.09(1)	Rule 8	Revised
2.09 (1) Commentary	Rule 8, Commentary 1 Rule 8, Commentary 7	
2.09 (2)	Rule 8, Commentary 4	Revised
2.09 (2) Commentary	Rule 8, Commentary 4	
2.09 (3)	Rule 8, Commentary 5	Revised
2.09 (4)	Rule 8, Commentary 6	
2.09 (4) Commentary	Rule 8, Commentary 6	Revised
2.09 (5)	Rule 8, Commentary 6	Revised
2.09 (6)	Rule 8, Commentary 6	Revised
2.09 (6) Commentary	Rule 8, Commentary 6	
2.09 (7)	Rule 8, Commentary 3	Revised
2.09 (7) Commentary	Rule 8, Commentary 12	
2.09 (8)	Rule 8, Commentary 2	
2.09 (9)	Rule 8, Commentary 8	Revised
2.09 (9) Commentary	Rule 8, Commentary 8 Rule 8, Commentary 9 Rule 8, Commentary 10	
2.09 (10)	Rule 8, Commentary 11	Revised
2.09 (10) Commentary	Rule 8, Commentary 11	
3.01	Rule 12, Para. 1	Revised
3.01 Commentary	Rule 12, Commentary 1 Rule 12, Commentary 3 Rule 12, Commentary 5 Rule 12, Commentary 1 Rule 12, Commentary 2	Revised Revised Revised
3.02 (1)	Rule 12, Para. 7 (b)	
3.02 (2)	Rule 12, Para. 7 (a)	Revised
3.02 (3)	Rule 12, Para. 7 (e)	
3.02 (4)	Rule 12, Para. 7 (b)	
3.02 (5)	Rule 12, Para. 7 (c)	

Concordance

Rule of Professional Conduct	Former Rule of Professional Conduct	Nature of Change
3.02 (6)	Rule 12, Para. 7 (d)	
3.02 (7)	Rule 12 Para. 7 (f)	
3.02 (8)		New
3.03 (1)	Rule 12, Para. 7 (h)	Revised
3.03 (2)	Rule 12, Para. 7 (g)	
3.03 (3)	Rule 12, Para. 7 (i)	Revised for multi-discipline practices
3.04 (1)	Rule 12, Para. 2	Revised
3.04 (2)	Rule 12, Para. 3	Revised
3.04 (3)	Rule 12, Para. 5 (a) Rule 12, Para. 5 (b)	Revised
3.04 (3) Commentary	Rule 12, Commentary 4	Revised
3.05 (1)	Rule 12, Para. 8 (a)	Revised
3.05 (2)	Rule 12, Para. 8 (a)	Revised
3.05 (3)	Rule 12, Para. 8 (a)	Revised
3.05 (4)	Rule 12, Para. 8 (b)	Revised
3.05 (5)	Rule 12, Para. 8 (b)	Revised
3.05 (6)		New for multi-discipline practice.
3.06 (1)		New Rule 12, Para. 4 deleted Rule 12, Para. 6 deleted
3.06 (2)		Revised and new. Rule 12, Paras. 5 (c), (d), (e), (f), and (g) replaced. See Alberta Rule 5 (Accessibility and Advertisement of Legal Services)
3.06 (2) Commentary		New
3.07 (1)	Rule 22, Para. 1	
3.07 (2)	Rule 22, Para. 2	
3.07 (3)	Rule 22, Para. 3	

Concordance

Rule of Professional Conduct	Former Rule of Professional Conduct	Nature of Change
3.07 (4)	Rule 22, Para. 4	
4.01 (1)	Rule 10	
4.01 (1) Commentary	Rule 10, Commentary 1 Rule 10, Commentary 2 Rule 10, Commentary 13 Rule 21, Para. 3 Rule 10, Commentary 10 Rule 10, Commentary 11 Rule 10, Commentary 5 Rule 10, Commentary 4	Revised; see para. 17 of October 15, 1998 draft <i>American College of Trial Lawyers Canadian Code of Trial Conduct</i> . The commentary about taking into account the best interests of a child is new.
4.01 (2)	Rule 10, Commentary 2	Revised para. 4.01 (2)(g) Revised para. 4.01 (2)(h) Revised para. 4.01 (2)(i) Revised para. 4.01 (2)(l)
4.01 (2) Commentary		New
4.01 (3)		New
4.01 (3) Commentary	Rule 10, Commentary 9	Revised
4.01 (4)		New
4.01 (5)	Rule 10, Commentary 3 (a)	
4.01 (5) Commentary	Rule 10, Commentary 3 (b)	
4.01 (6)	Rule 10, Commentary 7	Revised
4.01 (6) Commentary	Rule 10, Commentary 7	
4.01 (7)	Rule 10, Commentary 8	Revised
4.01 (7) Commentary	Rule 10, Commentary 8	
4.01 (8)		New
4.01 (9)	Rule 10, Commentary 12	Revised
4.01 (9) Commentary	Rule 10, Commentary 12	Revised
4.02 (1)	Rule 10, Commentary 16 (a), (c)	
4.02 (2)	Rule 10, Commentary 16 (b), (c)	
4.02 (2) Commentary	Rule 10, Commentary 16 (b), (c)	Revised

Concordance

Rule of Professional Conduct	Former Rule of Professional Conduct	Nature of Change
4.02 (3)	Rule 10, Commentary 16 (b), (c)	
4.03 (1)	Rule 10, Commentary 14	
4.03 (2)	Rule 10, Commentary 14	Revised
4.03 (3)		New
4.03 (3) Commentary		New
4.04	Rule 10, Commentary 15	Revised
4.04 Commentary	Rule 10, Commentary 15	Revised New
4.05		New, based upon the <i>American College of Trial Lawyers Canadian Code of Trial Conduct</i> , Rule 19
4.05 (1) Commentary		New, based upon the <i>American College of Trial Lawyers Canadian Code of Trial Conduct</i> , Rule 19
4.05 (2)		New, based upon the <i>American College of Trial Lawyers Canadian Code of Trial Conduct</i> , Rule 19
4.05 (3)		New, based upon the <i>American College of Trial Lawyers Canadian Code of Trial Conduct</i> , Rule 19
4.05 (4)		New, based upon the <i>American College of Trial Lawyers Canadian Code of Trial Conduct</i> , Rule 19
4.05 (5)		New, based upon the <i>American College of Trial Lawyers Canadian Code of Trial Conduct</i> , Rule 19

Concordance

Rule of Professional Conduct	Former Rule of Professional Conduct	Nature of Change
4.05 (5) Commentary		New, based upon the <i>American College of Trial Lawyers Canadian Code of Trial Conduct</i> , Rule 19
4.06 (1)	Rule 11	
4.06 (1) Commentary	Rule 11, Commentary 1 Rule 11, Commentary 2 Rule 11, Commentary 5 Rule 11, Commentary 3	Revised Revised
4.06 (2)	Rule 11, Commentary 4	Revised
4.06 (2) Commentary	Rule 11, Commentary 4	
4.06 (3)	Rule 11, Commentary 6	Revised New
4.06 (3) Commentary	Rule 11, Commentary 6	Revised New
4.07	Rule 25 Rule 25, Commentary 3	Rule 25, Commentary 4 deleted Rule 25, Commentary 2 deleted Revised
4.07 Commentary	Rule 25, Commentary 1 Rule 25, Commentary 4 Rule 25, Commentary 5	Revised
5.01 (1)	Rule 16, Commentary 4	Rule 16, Commentary 1 deleted
5.01 (2)	Rule 19, Commentary 2 Rule 16, Para. 4	
5.01 (2) Commentary	Rule 19, Commentary 2 - Rule 16, Para. 2 Rule 16, Para. 3 Rule 16, Commentary 2 Rule 16, Commentary 2 (a) Rule 16, Commentary 2 (b) Rule 16, Commentary 2 (c) Rule 16, Commentary 2 (d)	Revised New, but based on Rule 16, Para. 1 Revised Revised Revised

Concordance

Rule of Professional Conduct	Former Rule of Professional Conduct	Nature of Change
5.01 (3)	Rule 16, Commentary 3	Revised Provision about non-lawyer not being permitted to set fees deleted; 5.01(3)(m) based on part of Rule 16, Para. 2
5.01 (3) Commentary	Rule 16, Commentary 3. Rule 16, Para. 1	
5.01 (4)	Rule 30, Para. 3	Revised
5.01 (5)	Rule 19, Commentary 3	
5.02 (1)	Rule 13, Commentary 7	Revised
5.02 (2)	Rule 24, Para. 1	Revised
5.02 (3)	Rule 24, Para. 2	
5.03 (1)	Rule 27, Commentary 1	Revised
5.03 (1) Commentary	Rule 27, Commentary 2 Rule 27, Commentary 3	
5.03 (2)	Rule 27	Revised
5.04 (1)	Rule 28	
5.04 (1) Commentary	Rule 28, Commentary	Revised by the addition of commentary taken from the Law Society's five bulletins about Rule 28.
5.04 (2)	Rule 28, Commentary	
5.04 (3)	Rule 28, Commentary	Revised by the addition of commentary taken from the Law Society's five bulletins about Rule 28.
5.04 (3) Commentary	Rule 28, Commentary	
6.01 (1)	Rule 13	Revised
6.01 (1) Commentary	Foreword Rule 1, Commentary 1 Rule 1, Commentary 2 Rule 1, Commentary 3	Revised
6.01 (2)	Rule 13, Commentary 6	Revised

Concordance

Rule of Professional Conduct	Former Rule of Professional Conduct	Nature of Change
6.01 (2) Commentary	Rule 13, Commentary 6	New commentary about relationship with consultants
6.01 (3)	Rule 13, Commentary 1	Revised
6.01 (3) Commentary	Rule 13, Commentary 1 Rule 13, Commentary 1A	New commentary about harassment and discrimination counsel.
6.01 (4)	Rule 13, Commentary 2	
6.01 (5)	Rule 13, Commentary 2	
6.01 (6)	Rule 13, Commentary 2	
6.01 (7)	Rule 13, Commentary 2	
6.02	Rule 13, Commentary 3	
6.03 (1)	Rule 14 Rule 14, Commentary 9	Revised
6.03 (1) Commentary	Rule 14, Commentary 1 Rule 14, Commentary 2 Rule 14, Commentary 8	
6.03 (2)	Rule 14, Commentary 3	Revised
6.03 (3)	Rule 14, Commentary 4	
6.03 (4)	Rule 14, Commentary 4	
6.03 (5)	Rule 14, Commentary 4	Revised
6.03 (6)	Rule 14, Commentary 5	Revised
6.03 (7)	Rule 14, Commentary 7	
6.03 (8)	Rule 14, Commentary 6	
6.03 (8) Commentary	Rule 14, Commentary 6	
6.04 (1)	Rule 17	
6.04 (2)	Rule 17, Commentary 2	
6.04 (2) Commentary	Rule 17, Commentary 1 Rule 17, Commentary 3	
6.05 (1)	Rule 18	
6.05 (1) Commentary	Rule 18, Commentary 1 Rule 18, Commentary 2	

Concordance

Rule of Professional Conduct	Former Rule of Professional Conduct	Nature of Change
6.05 (2)	Rule 18, Commentary 3	
6.05 (2) Commentary	Rule 18, Commentary 3 Rule 18, Commentary 4	
6.05 (3)	Rule 18, Commentary 5	Revised
6.05 (4)	Rule 18, Commentary 6	Revised
6.05 (4)	Rule 18, Commentary 6	
6.05 (5)	Rule 18, Commentary 7	
6.05 (5) Commentary	Rule 18, Commentary 7 Rule 18, Commentary 8	
6.06 (1)		New, but see Rule 21, Commentary 1 Rule 21, Para. 3 moved to Rule 4.01 (1) Commentary
6.06 (1) Commentary	Rule 21, Para. 1 Rule 21, Para. 2 Rule 21, Para. 5 Rule 21, Commentary 5 Rule 21, Commentary 2 Rule 21, Commentary 3 Rule 21, Commentary 4 Rule 21, Commentary 6	Revised Revised
6.06 (2)		New
6.06 (2) Commentary		New
6.07 (1)	Rule 19	
6.07 (1) Commentary	Rule 19, Commentary 1	
6.07 (2)	Rule 20	Revised
6.07 (3)		New
6.08 (1)	Rule 15, Para. 1	
6.08 (2)	Rule 15, Para. 2	
6.08 (3)	Rule 15, Para. 1	
6.08 (4)	Rule 15, Para. 2	
6.09 (1)	Rule 3, Commentary 10	Revised

Concordance

Rule of Professional Conduct	Former Rule of Professional Conduct	Nature of Change
6.09 (2)	Rule 3, Commentary 10	
6.09 (2) Commentary	Rule 5, Commentary 15	Revised
6.09 (3)	Rule 3, Commentary 10	Revised
6.09 (4)	Rule 3, Commentary 10	
6.09 (5)	Rule 3, Commentary 10	Revised
6.10		New for multi-discipline practice
6.11 (1)		New, based on ABA Model Code, Rule 8.5
6.11 (2)		New
6.11 (3)		New

INDEX

Affiliation, definition of.....	1.02
Affiliations between lawyers and affiliated entities.....	2.04 (10.1)–(10.3)
Alternative dispute resolution (ADR)	
Advising.....	2.02 (2), (3)
Appeals	4.02 (3)
Arbitrator, <i>see</i> Advocacy	
Articling student	
Duties of.....	5.02 (3)
Principal, duties of.....	5.02 (2)
Recruitment procedures	5.02 (1)
Sexual harassment.....	5.03 (1), (2)
Associate, definition of.....	1.02
Borrower and lender, acting for	2.04 (11), (12), 2.06
Borrowing from client.....	2.06 (4), (5)
By-law 6.....	6.09 (2)
By-law 7.1.....	5.01 (2), 6.07 (3)
By-law 8.....	6.01 (8)
By-law 9.....	2.02 (5), 6.07 (3)
By-law 15.....	3.03 (1)
Candour	
Advocacy and.....	4.01 (1)
Client service and.....	2.01 (1)
Duty of prosecutor and.....	4.01 (3)
Certificate of independent legal advice.....	2.06 (3)
Certified specialist, advertising of	3.03 (1)
Citation and interpretation	1.01–03
Civil matters.....	4.01 (1)
Civil proceedings	4.01 (1)
Client	
Advertising, prohibition against.....	2.06 (8)
Advocacy and.....	4.01 (1)
Borrowing from	2.06 (4), (5)
Confidentiality and.....	2.03
Conflicts of interest.....	2.04–05
Criminal activity and.....	2.02 (5)
Definition of.....	1.02, 2.05 (1)
Disability of	2.02 (6)
Dishonesty and fraud by	2.02 (5)
Doing business with.....	2.06
Fees and disbursements.....	2.08
French language rights.....	1.03 (1)
Guilty plea.....	4.01 (8), (9)
Investment by.....	2.06 (2), (2.1)
Lending client	2.04 (8), (8.1), (8.2)

Organization as	2.02 (1.1)
Paying for legal services	2.06 (2), (2.1)
Preservation of property.....	2.07 (1)–(6)
Quality of service and	2.02
Reporting conduct to the society.....	6.01 (4)–(7)
Trust accounts	2.02 (5.0.2)
Under a disability	2.02 (6)
Waives independent legal representation.....	1.02
Withdrawal of representation and.....	2.09
Competence	
Standard of.....	2.01 (1), (2)
Competent lawyer, definition of.....	2.01 (1)
Communication	
Abusive communications.....	6.03 (5)
Cross-examination, during.....	4.04
Examination-in-chief, during.....	4.04
Jurors, with.....	4.05 (1), (4), (5)
Mediation process and	4.07
Professional letters and	6.03 (6)
Professional practice and	6.03 (5)
Prohibition on.....	6.03 (8)
Public appearances and.....	6.06 (1), (2)
Public statements and.....	6.06 (2)
Punctual communication.....	6.03 (6)
Re-examination, during.....	4.04
Represented corporation or organization with.....	6.03 (9)
Represented person with.....	6.03 (7), (8)
Second opinions.....	6.03 (8)
Unrepresented person with	2.04 (14)
Witness with.....	4.03, 4.04
Conduct	
Dishonourable or questionable	1.02
Misconduct, duty to report.....	6.01 (4)–(7)
Offences, duty to report	6.01 (8)
Unbecoming a barrister or solicitor, definition of	1.02
Confidentiality	
Client and.....	2.03 (1)
Joint retainer and.....	2.04 (6)
Justified or permitted disclosure and	2.03 (2)–(5)
Literary works and	2.03 (6)
Mediation and	4.07
Security of court facilities and	4.06 (3)
Transferring between law firms and	2.05
Conflict of interest, <i>see also</i> Doing business with a client, Transfer between law firms	
Affiliations between lawyers and affiliated entities	2.04 (10.1)–(10.3)
Avoidance of.....	2.04
Borrower and lender, acting for	2.04 (11), (12)

Client, acting against.....	2.04 (4), (5)
Client, investment by	2.06 (2)
Confidentiality and.....	2.03
Contentious issue	2.04 (9), (10)
Definition of.....	2.04 (1)
Guarantees by a lawyer	2.06 (9), (10)
Independent legal advice and.....	1.02
Independent legal representation and.....	1.02
Joint retainer and.....	2.04 (6)–(10)
Lawyer or articling student, hiring of	2.05
Loan or mortgage transactions and	2.06 (6)–(8)
Multi-discipline practice and	2.04 (13)
Potential transferee, hiring of.....	2.05
Practicing in an affiliation.....	2.04 (10.3)
Public office and	6.05 (2), (3), (5)
Transferor and transferee, acting for.....	2.04.1 (1)–(3)
Transferring between law firms and	2.05 (1)–(10)
Transfers of title and	2.04.1
Unrepresented persons and	2.04 (14)
Consent	
Acting against client and.....	2.04 (4), (5)
Definition of.....	1.02
Affiliations between lawyers and affiliated entities and.....	2.04 (10.1), (10.2)
Avoidance of conflicts of interest and	2.04 (1)
Investment by client and	2.06 (2)
Joint retainer and.....	2.04 (8)
Literary works and	2.03 (6)
Referral fees and	2.08 (9)
Transferring between law firms and	2.05 (4), (7), (8)
<i>Constitution Act</i>	1.03 (1)
Contingent fees	2.08 (3)–(5)
Corporate and commercial matters	5.01 (2)
Counselling, for lawyer.....	6.01 (3)
Courtesy	
Advocacy and.....	4.01 (1), (6)
Duty of prosecutor	4.01 (3)
General.....	6.03 (1)–(4)
Court facilities, security of.....	4.06 (3)
<i>Courts of Justice Act</i>	1.03 (1)
<i>Criminal Code</i>	1.03 (1), 6.01 (6)
Criminal proceedings, withdrawal from	2.09 (4)–(6)
Crime, assisting in, <i>see</i> Dishonesty or fraud	
Cross-examination, communication during.....	4.04
Delegation, <i>see</i> Supervision	
Disability	
Client under a.....	2.02 (6)
Disbarred persons.....	6.07 (2)

Index	Rule
Disbursements.....	2.08 (1)
Discipline	
Authority of the Society.....	6.11 (1)
Conduct unbecoming a lawyer.....	6.11 (3)
Legal contempt of court.....	4.01 (6)
Professional misconduct.....	6.11 (2)
Disclosure, <i>see also</i> Confidentiality	
Authorized by client.....	2.03 (1)
Juror’s interest in the case and.....	4.05 (2), (3)
Justified or permitted.....	2.03 (2)–(5)
Mortgages of.....	2.06 (7)
Prohibited.....	2.03 (1)
Discovery obligations.....	4.01 (4)
Discrimination	
Employment practices and.....	5.04 (3)
Examples of.....	5.04 (1)
Human rights law and.....	5.04 (1)
Ontario Human Rights Code and.....	5.04 (1)
Quality of service and.....	5.04 (2)
Society and.....	5.04 (1)
Special responsibility of lawyers.....	5.04 (1)
Dishonesty or fraud	
Client, by.....	2.02 (5)
Guarding against.....	2.02 (5)
Real estate transactions.....	2.02 (5)
Trust accounts.....	2.02 (5.0.2)
When client an organization.....	2.02 (5.1), (5.2)
Dishonourable or questionable conduct, definition of.....	1.02
Doing business with a client, <i>see also</i> Conflict of interest	
Certificate of independent legal advice.....	2.06 (3)
Client, borrowing from.....	2.06 (4), (5)
Client, investment by.....	2.06 (2), (2.1)
Guarantees by a lawyer.....	2.06 (9), (10)
Loan or mortgage transactions.....	2.06 (6)–(8)
Related persons.....	2.06 (1)
Shares or securities for fees.....	2.06 (2.1)
Syndicated mortgage.....	2.06 (1)
Duty to report	
Misconduct.....	6.01 (3)
Offences.....	6.01 (8)
Emotional, mental, family disturbances.....	6.01 (3)
E-reg TM (electronic registration of title documents)	
Documents, signing of.....	5.01 (6)
Signing for completeness, direct supervision and.....	5.01 (2)
Title documents, registration of.....	5.01 (3), (4), (6)
Error or omission	
Advocacy and.....	4.01 (5)

Co-operation with insurer	6.09 (3)
Informing client of	6.09 (1)
Notice of claim.....	6.09 (2)
Responding to client's claim.....	6.09 (4), (5)
Examination-in-chief, communication during.....	4.04
Fees and disbursements	
Account statement.....	2.08 (4)
Advertising of	3.02 (3)
Appropriation of funds.....	2.08 (10)
Contingency fees.....	2.08 (3)
Declining retainer.....	2.06 (2.1)
Disbursements.....	2.08 (1), (2)
Division of	2.08 (6), (8)
Hidden fees, prohibition against	2.08 (2)
Interest on.....	2.08 (2)
International or interprovincial law firms, exception for sharing of fees	2.08 (9)
Joint retainer for	2.08 (7)
Multi-discipline practice, exception for sharing of fees	2.08 (9)
Non-payment of	2.09 (3)
Payment of	2.06 (2.1)
Reasonable fees.....	2.08 (1), (2)
Referral fees	2.08 (7)
Withdrawal from representation and	2.09 (3), (4)
Fraud	
Client, by.....	2.02 (5)
Guarding against	2.02 (5.0.1)
Real estate transactions	2.02 (5)
Trust accounts	2.02 (5.0.2)
French language rights	
Client and.....	1.03 (1)
<i>Constitution Act</i> and.....	1.03 (1)
<i>Courts of Justice Act</i> and	1.03 (1)
<i>Criminal Code</i> and.....	1.03 (1)
<i>French Language Services Act</i> and.....	1.03 (1)
<i>French Language Services Act</i>	1.03 (1)
Harassment, definition of.....	5.04 (1)
HHS.....	6.01 (3)
Hiring	
Articling student, of	2.05 (10)
Discrimination in employment practices	5.04 (2)
Guidelines for.....	2.05 (10)
Lawyer and.....	2.05 (10)
Potential transferee, of	2.05 (10)
Transferable lawyer, of.....	2.05 (10)
Homewood Human Solutions (HHS)	6.01 (3)
Human rights law	5.04 (1)
<i>Income Tax Act (Canada)</i>	2.04 (12), 2.04.1 (3), 2.06 (1)

Illness, of lawyer.....	6.01 (3)
Independent legal advice	
Borrowing from client and.....	2.06 (4), (5)
Certificate of independent legal advice.....	2.06 (3)
Definition of.....	1.02
Investment by client and.....	2.06 (2)
Joint retainer and.....	2.04 (7)
Loan or mortgage transactions and.....	2.06 (6)
Independent legal representation	
Borrowing from client and.....	2.06 (4), (5)
Definition of.....	1.02
Guarantees by a lawyer and.....	2.06 (9), (10)
Investment by client and.....	2.06 (2)
Unrepresented persons and.....	2.04 (14)
Insurer	
Co-operation with insurer.....	6.09 (3)
Informing client of error or omission.....	6.09 (1)
Notice of claim.....	6.09 (2)
Responding to client's claim.....	6.09 (4), (5)
Integrity	
Lawyer and.....	6.01 (1)
Making legal services available.....	3.01
Outside interests and.....	6.04 (1)
Standards of the legal profession.....	1.03
Interference with right to fair trial or hearing.....	6.06 (2)
International law firm, fees and.....	2.08 (9)
Interprovincial law firm	
Definition of.....	1.02
Fees and.....	2.08 (9)
Practice of law and.....	3.07
Investment by client.....	2.06 (2), (2.1)
Joint retainer	
Advising client.....	2.04 (6)
Confidentiality.....	2.04 (6)
Conflict of interest.....	2.04 (6)–(10)
Consent and.....	2.04 (8)
Contentious issue.....	2.04 (9), (10)
Continuing relationship and.....	2.04 (7)
Fees for.....	2.08 (7)
Lending client and.....	2.04 (8.2)
Jurors	
Communication with.....	4.05 (1), (4), (5)
Disclosure of information.....	4.05 (2)
Relations with.....	4.05 (1)–(5)
Justified disclosure.....	2.03 (2)–(5)
<i>Land Registration Reform Act</i>	2.04.1 (3)
Law firm	

Definition of.....	1.02
International law firms.....	2.08 (9)
Interprovincial law firms.....	1.02, 3.07, 2.08 (9), 3.04 (1)
Name of.....	3.02
Law Society, <i>see</i> Society	
<i>Law Society Act</i>	1.02, 2.01, 2.07 (1), 2.08 (9)
Lawyer	
Abusive communications and.....	6.03 (5)
Administration of justice and.....	4.06 (1)–(3)
Advertising.....	3.03 (1)
Advising client of French language rights.....	1.03 (1)
Advocate, as.....	4.01, 4.02
Borrower and lender, acting for.....	2.04 (6.1), (11), (12)
Certified specialist.....	3.03 (1)
Client, acting against.....	2.04 (4), (5)
Client property, preservation of.....	2.07
Clients, borrowing from.....	2.06 (4), (5)
Competence and standard of.....	2.01 (1), (2)
Compromise, encouraging.....	2.01 (2), (3)
Conduct unbecoming a lawyer.....	6.11 (3)
Conflicts of interest, avoidance of.....	2.04
Declining representation.....	3.01 (1)
Defence counsel, duty as.....	4.01 (1)
Definition of.....	1.02
Delegation, where improper.....	5.01 (3), (4)
Disqualification.....	2.05 (7)
Encouraging client to report misconduct.....	6.01 (4)–(7)
Fees and disbursements.....	2.08
Financial obligations of.....	6.01 (2)
Guarantees by.....	2.06 (9), (10)
Integrity of.....	6.01 (1)
Justified or permitted disclosure.....	2.03 (2)–(5)
Lawyers, responsibility to.....	6.03 (1)–(10)
Legal aid plan, participation in.....	3.01 (1)
Lender, acting for.....	2.02 (14), (15), 2.04 (6.1)
Loan or mortgage transactions, in.....	2.06 (6)–(10)
Mediator, as.....	4.07
Member of interprovincial law firms, as.....	3.04 (2)–(4)
Misconduct, duty to report.....	6.01 (3)
Multi-discipline practices and.....	2.04 (13), 6.10
Offences, duty to report.....	6.01 (8)
Organization, acting for.....	2.01 (1.1)
Others, responsibility to.....	6.03 (1)–(10)
Outside interests and.....	6.04
Practice of law.....	3.01–04
Principal, as.....	5.02 (2)
Profession, responsibility to.....	6.01

Prosecutor, duty as	4.01 (3)
Public appearances	6.06
Public office	6.05
Public, responsibility to	4.06 (1)
Public statements	6.06
Recording conversations	6.03 (4)
Report misconduct, duty to	6.01 (3)
Sharp practice	6.03 (3)
Society, responsibility to	6.02
Special responsibilities of	1.03 (1), 5.04 (1)
Supervision, duty of	5.01
Suspension	6.07 (3)
Threatening criminal proceedings	2.02 (4)
Transfer between law firms	2.05
Transferor and transferee, acting for	2.04.1 (1)–(3)
Trust accounts	2.02 (5.0.2)
Unauthorized practice, preventing	6.07
Undertakings and	6.03 (10)
Withdrawal from representation	2.09 (1)
Witness, as	4.02 (1)–(3)
Lawyers' Professional Indemnity Company (LawPRO)	
Title insurance	2.02 (13)
Legal practitioner	
Definition of	1.02
Lawyer's duty to	1.02, 1.03, 2.09 (8), 4.04, 6.03 (1), (3), (5)–(9)
Legal profession	
Integrity of	6.01 (1)
Lawyer's responsibility to	6.01 (1)
Legal services	
Making available	3.01 (1)
Offering of	3.01 (2)
Offering of, restrictions in the	3.01 (2)
Legislative change	4.06 (2)
Lending client	2.04 (8), (8.1), (8.2)
Licence	
Revoked	6.07 (2)
Suspended	6.07(3)
Licensee, definition of	1.02
Literary works, confidentiality and	2.03 (6)
Loan and mortgage transactions	
Disclosure in	2.06 (7)
Lawyers in	2.06 (6)–(10)
Lending client and	2.04 (8.2)
Marketing, <i>see also</i> Advertising	
Advertising of fees	3.02 (3)
Definition of	3.02 (1)
Legal services of	3.02 (1)–(3)

Index	Rule
Mediation, confidentiality and	4.07
Mediator	
Lawyer as	4.07
Role of	4.07
Medical-legal reports	2.02 (7)–(9)
Member, definition of	1.02
Mental instability, of lawyer	6.01(3)
Mental disturbances, by of lawyer	6.01 (3)
Misconduct	
Duty to report	6.01 (3)
Encouraging client to report	6.01 (4)–(7)
Practice of law and	3.01 (2)
Professional misconduct, definition of	1.02
Sexual harassment	5.03 (1), (2)
Mortgage	
Advertising, prohibition against	2.06 (8)
Borrower or lender, prohibition against acting for	2.04 (11), (12)
Disclosure of	2.06 (7)
Syndicated mortgage, definition of	2.06 (1)
Syndicated mortgage, transactions involving	2.06 (6)
Transactions, reporting on	2.02 (14), (15)
Multi-discipline practice	
Advertising and	3.05 (6)
Compliance with rules	6.10
Conflict of interest	2.04 (13)
Fees and	2.08 (9)
Responsibility in	6.10
Non-lawyers	
By-law 7.1 and	5.01 (2)
Corporate and commercial matters and	5.01 (2)
Real estate and	5.01 (2)
Sexual harassment and	5.01 (1), (2)
Supervision of	5.01 (1)–(6)
Title documents and	5.01 (3), (4)
Title insurance and	5.01 (5)
Wills, trusts, estates and	5.01 (2)
Offences, duty to report	6.01 (8)
Office of the Children’s Lawyer	2.02 (6)
Office of the Public Guardian and Trustee	2.02 (6)
Omission, discovery of	4.01 (5)
Ontario Human Rights Code	5.04 (1)
OLAP, <i>see also</i> Homewood Human Solutions (HHS)	6.01 (3)
Ontario Lawyers’ Assistance Program	6.01 (3)
Organization	
As client	2.02 (1.1)
Dishonest or fraudulent	2.02 (5.1), (5.2)
Lawyer acting for	2.02, 2.03 (3)

Outside interests	
Independent judgment and	6.04 (2)
Integrity and	6.04 (1)
Paralegal, definition of	1.02
<i>Paralegal Rules of Conduct</i>	1.02
Permitted disclosure	2.03 (2)–(5)
Plea	
Guilty, agreement on	4.01 (8), (9)
Practice of law	
Advertising practice	3.03 (1)
Certified specialist	3.03 (1)
Declining representation	3.01 (1)
Interprovincial law firms	3.04 (1)–(4), 3.07
Legal Aid Plan, participating in	3.01 (1)
Legal services, availability of	3.01 (1)
Marketing legal services	3.02 (1)–(3)
Name, of law firm	3.02
Offering professional services	3.06
Outside interests and	6.04 (1), (2)
Restrictions in the offering of legal services	3.01 (2)
Suspended lawyers	6.07 (3)
Unauthorized practice of law, prevention of	6.07 (1)
Preservation of client's property	
Accounting and delivery of	2.07 (5), (6)
Care of client's property	2.07 (1)
General	2.07
Identification of client's property	2.07 (3), (4)
Receipt of property	2.07 (2)
Pro bono	
Client, definition of	2.04 (15)
Providing services	2.08 (2)
Providing short-term limited legal services	2.04 (15)–19)
Professional misconduct	
Definition of	1.02
Discipline of	6.11
Property	
Accounting and delivery	2.07 (5)
Identification of	2.07 (3), (4)
Notification of receipt of	2.07 (2)
Preservation of	2.07 (1)
Prosecutor	4.01 (3)
Public appearances	
Communication, guidelines for	6.06 (1)
Communication, prohibition against	6.06 (2)
Public interest	6.03 (1)
Public life, <i>see also</i> Public office	
Criticizing tribunals	4.06 (1)

Encouraging respect for administration of justice	4.06 (1)
Legislative change and.....	4.06 (2)
Public office, <i>see also</i> Public life	
Appearances before public bodies	6.05 (4)
Conduct after leaving office.....	6.05 (5)
Conflict of interest	6.05 (2), (3), (5)
Standard of conduct	6.05 (1)
Public statements	6.06
Punctuality	6.03 (6)
Quality of service	
Alternative dispute resolution (ADR) and	2.02 (3)
Client under disability.....	2.02 (6)
Compromise or settlement	2.02 (2)
Dishonesty or fraud.....	2.02 (5)–(5.2)
Honesty and candour.....	2.02 (1)
Medical-legal reports	2.02 (7–9)
Reporting on mortgage transactions	2.02 (14–15)
Threatening criminal proceedings.....	2.02 (4)
When client an organization	2.02 (1.1)
Real estate	
E-reg TM system and.....	5.01 (4)
Fraud, etc.....	2.02 (5)
Non-lawyer and.....	5.01 (2)
Title insurance and.....	2.02 (10–13)
Record-keeping	
Trust accounts	2.02 (5.0.1)–(5.0.2)
Recruitment procedures, <i>see</i> Articling students	
Re-examination, communication during.....	4.04
Referral fees	2.08 (9)
Related persons, definition of.....	2.06 (1)
Relationship of lawyer to	
Administration of justice.....	4.01–06
Articling students	5.02 (1)–(3)
Clients	2.02–09
Legal practitioner, <i>see</i> Legal practitioner	
Non-lawyers	5.01 (1)–(6)
Other lawyers	6.01 (01)–(11)
Society.....	6.01 (01)–(11)
Solicitor and client	1.02, 6.01 (3)
Reports, medical-legal	2.02 (7)–(9)
Represented persons, communication with.....	4.03
Retired judges	
Appellate judge, definition of	6.08 (1)
Counsel, appearance as	6.08 (3), (4)
Definition of.....	6.08 (2)
Returning to practice.....	6.08 (1)–(4)
Second opinions	6.03 (8)

Sexual harassment	
Definition of.....	5.03 (1)
Examples of	5.03 (1)
Prohibition on.....	5.03 (2)
Sharp practice.....	6.03 (3)
Short-term limited legal services	2.04 (15)–(19)
Society	
Communications with	6.02
Definition of.....	1.02
Disciplinary authority, as	6.11
Reporting misconduct to	6.01 (3)
Reporting dishonest conduct to.....	6.01 (4)–(7)
TitlePLUS insurance and	2.02 (13)
<i>Solicitors Act</i>	2.08 (2), (3)
Solicitor’s lien.....	2.09 (9)
Student, <i>see</i> Articling student	
Substance abuse, by lawyer	6.01 (3)
<i>Substitute Decisions Act</i>	2.04 (6)
Successor licensee, duty of	2.09 (10)
Supervision	
Non-lawyers, of.....	5.01 (1)–(6)
Suspended	
lawyer.....	6.07 (2)
licence	6.07(2), (3)
Syndicated mortgage, definition of.....	2.06 (1)
Testimony, submission of.....	4.02 (2)
Threatening criminal proceedings.....	2.02 (4)
Title documents	
Electronic registration of.....	5.01 (3)
Non-lawyer and.....	5.01 (4)
Title insurance	
Real estate conveyance and	2.02 (10)–(13)
TitlePLUS	2.02 (13)
Transfer between law firms, <i>see also</i> Conflict of interest	
Application of rules.....	2.05 (2), (3)
Client, definition of.....	2.05 (1)
Compliance, determination of.....	2.05 (9)
Confidential information.....	2.05 (1)
Due diligence	2.05 (10)
Law firm, disqualification of	2.05 (4)–(6)
Transferor and transferee, lawyer acting for.....	2.04.1 (1)–(3)
Transferring lawyer, disqualification of	2.05 (7), (8)
Tribunal	
Criticizing of.....	4.06 (1)
Definition of.....	1.02
Rules of.....	4.01 (4)
Trust accounts	

When acting for a client	2.02 (5.0.2)
Unauthorized practice	
Disbarred persons	6.07 (2)
Licence, revoked	6.07 (2)
Licence, suspended	6.07(2)–(3)
Preventing	6.07 (1)
Suspended persons	6.07 (2)
Undertakings	
Advocacy in	4.01 (7)
Lawyer and	6.03 (10)
Not to practice law	6.08 (4)
Subject to restriction	6.08 (5)
Unrepresented persons	2.04 (14), 4.01 (2)
Wills, trusts, and estates	5.01 (2)
Withdrawal from representation	
Conflict of	2.09 (4)
Criminal proceedings and	2.09 (4)–(6)
Duty of successor licensee and	2.09 (10)
Justifiable cause and	2.09 (2)
Loss of confidence and	2.09 (2)
Mandatory withdrawal	2.09 (7)
Manner of withdrawal	2.09 (8), (9)
Non-payment of fees	2.09 (3)
Notice to client	2.09 (1)
Optional withdrawal	2.09 (2)
Prohibition against	2.09 (1)
Reasonable notice	2.09 (1)
Solicitor’s lien	2.09 (9)
Successor licensee, duty of	2.09 (10)
Witness	
Advocates, duty of	4.01 (2)
Communication with	4.04
Interviewing	4.03
Lawyer as	4.02 (1)–(3)

Updated February 5, 2013

