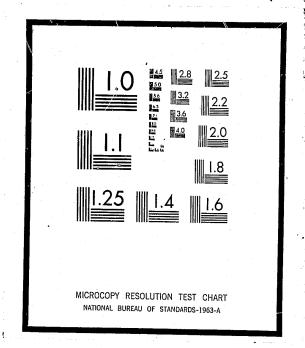
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CANONS OF JUDICIAL ETHICS 111

Report No. 8 June, 1969

Prepared and Researched by: Susan A. Henderson, Research Assistant

# THE ORIGIN AND ADOPTION OF THE AMERICAN BAR ASSOCIATION'S CANONS OF JUDICIAL ETHICS

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While all who have taken a course in legal ethics during their law school careers will be familiar with the American Bar Association's Canons of Professional Ethics and the problems which led to their adoption, only a few will be as conversant with that organization's Canons of Judicial Ethics. Indeed, many will be surprised to learn that such a separate set of canons exist, so indifferent has been the response of legal writers to their progress toward nationwide adoption.

Despite the warm reception accorded the Canons of Professional Ethics after their adoption in 1908, resolutions presented at the ABA's 1909<sup>1</sup> and 1917<sup>2</sup> conventions calling for the appointment of a committee to draft a set of judicial canons were quickly forgotten. Many felt such canons were unnecessary; that the real issue was judicial competency rather than honesty. Others believed it was not the proper role of the bar to impose standards on the judiciary, feeling that such canons would more appropriately be developed within the judiciary.

It is likely that matters would have rested in this state of inertia for many more years had it not been for the public admission of a certain federal district court judge that he was supplementing his \$7,500 federal salary with \$42,500 a year for legal services rendered as national commissioner of the baseball associations. Powerless to bring sanctions against him under the professional ethics canons, delegates attending the 1921 ABA convention could only vote a resolution of censure.<sup>3</sup> Though this was done, it was quickly seen that dealing with each case on such an individual basis was inefficient and ineffective, as well as inequitable. An official expression of the bar's expectations of proper judicial conduct was needed to provide fair warning against future violations of ethical standards.

Goaded into action, the executive board rediscovered the 1909 resolution empowering it to appoint a drafting committee at its discretion. Early in 1922, the selection of a distinguished committee of three justices and two attorneys, with Chief Justice William Howard Taft as chairman, was announced. Working at a number of meetings spread throughout the year, the committee had a rough draft prepared for submission to the public in ample time for publication and commentary before the 1923 convention. Out of courtesy, a resolution was passed at that convention submitting the Canons to the

<sup>1</sup>34 Reports of the American Bar Association 88 (1909).  $^{2}42$  Reports of the American Bar Association 80-83 (1917). <sup>3</sup>46 Reports of the American Bar Association 61-67 (1921).

Judicial Section, then headed by Justice Pierce Butler, for additional comments and final approval. With only a slight modification in Canon 13 on kinship or influence, the original thirty-four canons were reported back to the bar association for approval. This was received with minimal discussion at the 1924 convention.<sup>4</sup>

The Judicial Canons had little immediate impact.<sup>5</sup> Though the Georgia State Bar Association adopted the canons at its annual meeting the following year, the next adoption was not until 1928. And this adoption by the State Bar of California was rendered ineffective the following year by a court ruling that since, under the California constitution, judges were prohibited from practicing law, the bar association had no jurisdiction over their conduct. By September 30, 1937, when the association voted to substitute the words "a judge" for the initial word "he" in seventeen of the canons and to add Canon 35 on improper publicizing of court proceedings and Canon 36 on the conduct of court proceedings, only the state bar associations of Georgia, New York, and Oregon had effectively adopted the original code. At the end of World War II, more than twenty years after the ABA's adoption, only twelve states had adopted the canons.

Despite the initially indifferent reception of the Judicial Canons, the same post-war trends which have led to an increasing public interest in reorganizing and reforming the judiciary have led to a greater awareness on the part of judges of the need to set standards for their own conduct before such standards are imposed from without. The resulting interest in self-policing has led to the post-war adoption of the canons by thirty of the country's highest state appellate courts, bringing to thirty-three the total number of adopting courts. With the overlapping adoptions by ten unified and twelve non-unified bar associations, plus four judicial conferences, official recognition has now been given to ABAinspired codes of judicial ethics in forty-three states.

This leaves only Alabama, Maine, Massachusetts, New Hampshire, North Carolina, Rhode Island, and South Carolina without such codes. Of these, New Hampshire's state bar association and supreme court have already adopted Canon 28 on partisan politics, and Rhode Island's state bar has expressed interest in adopting the entire set.

Most of the forty-three adopting states (excluding New Hampshire) have adopted all thirty-six canons in one ABA-amended form or another, without change. However, a certain degree of dissatisfaction with the ABA provisions is shown in the decision of fifteen states to reword or omit from one to six of the ABA canons in the code they adopted.

<sup>4</sup> 49 Reports of the American Bar Association 65-71 (1924).

<sup>5</sup> The following data are derived from Brand, <u>Bar Associations</u>, <u>Attorneys and</u> <u>Judges</u> (1956) and Supplement (1959), as brought up to date by a questionnaire sent to the secretaries of the state bar associations of all fifty states with results received between February and April 1968. Additional data from New Mexico, North Dakota, and Wyoming were received in May 1969. The data on individual states are presented in the Appendix of this report. More substantial disagreement with the ABA wording and organization (in which several provisions overlap) is evidenced in the decision of California, Illinois, Louisiana, Texas, Vermont, and Wisconsin to substantially revise the canons. However, even in these codes the ABA ancestry is revealed in frequently identical phrasing and in similarity of the type of behavior desired. As a result of this dissatisfaction, all canons have been modified by the adopting groups of at least two states. Canons 26 on personal investments and relations, 28 on partisan politics, 31 on private law practice, and 35 on the improper publicizing of court proceedings are the canons most frequently altered by the states, with nine substantial changes having been made in each of these canons. Significantly, the majority of the changes have been in the direction of imposing more stringent standards.

It must be noted that there is a definite tendency for states to be slow in adopting the ABA amendments to the canons. For instance, while twenty-one states have adopted the 1950 amendment of Canon 28, only five of them did so by amendment; eight states adopting the canons after that date chose to ignore the change. Similarly, only eight states have adopted the slightly amended 1963 form of Canon 35, five of these adoptions having been by states adopting the entire set after that date. It appears that future ABA amendments will have little influence, except on any of the seven states without codes which may at some future date adopt the canons in their then existing form.

The effect of this widespread adoption of the American Bar Association's Canons of Judicial Ethics cannot as yet be assessed. It is hoped, however, that the trend is indicative of a growing concern by judges over the need to develop and enforce among themselves high standards of personal behavior, both in public and private life. If so, the spread of the canons forecasts an era of high quality justice and growing public respect for those charged with judicial office. 4

# STATE ADOPTION OF THE ABA JUDICIAL CANONS

The following data, summarized in Table I, are derived from George Brand's Bar Associations, Attorneys and Judges (1956) and 1959 Supplement. This material has been brought up to date through correspondence with the secretaries of the bar associations of the fifty states. Unless otherwise noted, citations are to the amended form of the ABA Canons in effect as of the date of the state's adoption. "Supreme Court" always refers to the highest appellate court of the adopting state.

		• •	CONNECTICUT	ABA Canons 1-36
ALABAMA	Neither the state bar nor the Supreme Court has adopted a code of judicial ethics.			delegates of the S 17, 1950. The fo Court voted to add
ALASKA	Canons 1-36, as amended by the ABA, were included under the Alaska Rules of Court Procedure and Administration as prepared			ABA amendments
	and promulgated by order of the Supreme Court of the State of Alaska in 1963.		DELAWARE	Rule 33 of the Sup effective January
ARIZONA	Canons 1-36, as amended by the ABA, were adopted by Supreme Court Rule 45 on October 1, 1956.			they also be adopt the Chancery Cou Supreme Court ru other judges of th
ARKANSAS	Canons 1-36 were adopted by reference in Article XIV of the constitution of the non-unified Bar Association of Arkansas on May 4, 1940. Canon 30 was adopted by the 1959 Legislature as Act Number 5, section 2.			from running for of Canons 13 and recent amendmen
CALIFORNIA			FLORIDA	Article X of the In the Supreme Cour
UALIF ORMA	The State Bar of California passed a resolution at its October 13, 1928, meeting adopting the original thirty-four canons. However, the following year it was held in <u>State Bar of California v. Superior</u> <u>Court of Los Angeles</u> (207 Cal. 323) that judges who are prohibited			expressly adopts promulgated by th tical with the ABA
	by the state constitution from practicing law, are not subject to the jurisdiction of the state bar. On August 30, 1949, the Conference of California Judges (a voluntary organization comprised of most of the state's trial and appellate judges) adopted the California Canons of Judicial Ethics. These canons are worded identically with ABA Canons 1-5, 9, 10, 14, 17, 21, 23, 27, 29 and 33.		GEORGIA	On June 6, 1925, the first group to were not included unified bar associ
	ABA Canons 18, 34 and 36 have no counterpart in the California canons. Other provisions have been adopted with substantially modified wording.			Court adopted Car
COLORADO	Canons 1-36 were adopted by court order on July 30, 1953, follow-		HAWAII	Article X of the c (adopted August 1 canons "as now e:
	ing the recommendation of the Board of Governors of the Colorado			3, 1955, they wer

COLORADO (cont.) Bar Associat a substantial

Bar Association. On July 1, 1965, Canon 35 was replaced by a substantially revised provision stating that permission of the trial judge must be obtained before the photographing and broadcasting of any court proceeding. Further, all defendants then on trial must give their affirmative consent to the particular form of publicity and no witness or juror in attendance under court order or subpoena may be photographed or have his testimony broadcast over his express objection.

> 6 were approved at a meeting of the board of State Bar Association of Connecticut on April collowing June 5, the judges of the Superior dopt them. Both groups have adopted the later s.

preme Court of Delaware adopted Canons 1-36, y 1, 1952, along with a recommendation that beted by the remaining state judges. By Rule 169, urt judges followed suit on June 9, 1958. The ruling is merely advisory in its effect on the he state. Canon 30 forbids judges and justices r public office while on the bench. The wording 1 26 has been somewhat modified. The most nts to Canons 28 and 35 have not been adopted.

Integration Rule of the Florida Bar, adopted by art on March 4, 1950 (amended in 1955 and 1958), s the Canons of Ethics for Judges as originally the Court on January 27, 1941. These are iden-BA canons as amended to 1950.

, the non-unified Georgia Bar Association became o adopt the ABA canons. However, the canons d in the Rules and Regulations of the succeeding ciation. To remedy this, the Georgia Supreme anons 1-36 by order on January 18, 1965.

constitution of the Bar Association of Hawaii 15, 1939) incorporated by reference the ABA existing and hereafter amended." On October ere adopted by Supreme Court Rule 16 (a).

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IDAHO	6 The State Bar Act of 1947 contains no provision as to judicial ethics. Therefore, the state bar board of commissioners adopted the canons as then in effect by Rule 151. This action received Supreme Court approval on July 5, 1952. The 1952 amendment to Canon 35 was approved by the Court in 1954.		LOUISIANA	The Louisiana Canons Supreme Court on Oc canons, the twenty-fi form. No provision 35 are included. By Committee on Judicia opinions on the mean
ILLINOIS	The Canons of Judicial Ethics, approved in June 1957 by the Chicago Bar Association and the Illinois Bar Association parallel the ABA canons in a substantially revised form. Only the word- ing of Canons 1-5, 7, 14, 23, 26, 32, 34 and 35 has been pre-	• •	MAINE	Neither the state bar of judicial ethics.
	served without material change. In June 1964, the Illinois Judi- cial Conference adopted its own canons. These are identical with all but four of the ISBA canons, the functional equivalents of ABA Canons 28, 30, 31 and 35. Concurrence on the wording		MARYLAND	The non-unified Mary Canons 1-36 with only
	has since been reached, with the exception of the deletion of a sentence in the ISBA canon on candidacy for nonjudicial office, requiring that "if a judge becomes a candidate for any judicial office, he should refrain from all conduct which might tend to		MASSACHUSETTS	Neither the state bar of judicial ethics.
	arouse reasonable suspicion that he is using the power or pres- tige of his judicial position to promote his candidacy or the success of his party."		MICHIGAN	On January 16, 1947, Canons of Judicial Et with the ABA canons. 25, 26, 28 and 35 has
INDIANA	The non-integrated Indiana State Bar Association adopted Canons 1-36 on September 16, 1938. All subsequent ABA amendments have been adopted by the association. Executive secretary Newton M. Goudy of the association reports that while the state's Supreme Court has not acted to adopt the canons by order or rule, it has consistently approved the canons by specific reference in cases involving disciplinary action.		MINNESOTA	The non-integrated M ABA canons on June 2 Court adopted the can standard of conduct f
IOWA	The non-unified Iowa State Bar Association adopted Canons 1-36 on May 28, 1948. On September 16, 1958, the Supreme Court of Iowa adopted the canons, as amended to that date, by Court Rule 119.	•	MISSISSIPPI	In 1962, the Mississi Judicial Ethics of the and 36 have been som ABA canons of the sa been substantially re- state law.
KANSAS	The non-unified Kansas State Bar Association adopted Canons 1-36 in August, 1941. Amendments to Canons 28 and 35 were adopted by the association in April, 1953.		MISSOURI	The Missouri Judicia tially abbreviated for effective March 1, 19
KENTUCKY	Canons 1-36 were recognized by Court of Appeals Rule 3.170, effective July 1, 1953, as persuasive authority in all disciplinary proceedings.			making power to adop form, with the excep Canons 23 and 31.

nons of Judicial Ethics were adopted by the n October 13, 1960. Though based on the ABA ty-five Louisiana canons differ substantially in ion comparable to ABA Canons 19, 23, 27 or By the same court order, the Supreme Court dicial Ethics was established to render advisory neaning of the canons.

bar nor the Supreme Court has adopted a code .

Maryland State Bar Association, Inc., adopted only negligible changes on June 19, 1953.

bar nor the Supreme Court has adopted a code .

947, the Supreme Court of Michigan adopted al Ethics 1-36. These are largely identical ions. However, the wording of Michigan canons 5 has been substantially revised.

ed Minnesota State Bar Association adopted the une 23, 1950. On March 3, 1966, the Supreme e canons in the present ABA form as the proper act for all judges of courts of record in the state.

sissippi Supreme Court approved the Rules of f the Mississippi State Bar. Rules 16, 19, 26 somewhat reworded but are consistent with the he same number. Judicial Rules 28 and 30 have y rewritten in order to comply with existing

dicial Conference adopted the canons in substand form on June 15, 1951. On December 30, 1965, 1, 1966, the Supreme Court exercised its ruleadopt all 36 canons in the present ABA-amended acception of slight changes made in the wording of

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MONTANA	Canons 1-36 were adopted by Supreme Court Rule on May 1, 1963. Montana Canon 28 is in the 1933 ABA form and the third paragraph of ABA Canon 31 is omitted.	19 	NORTH CAROLINA	9 Neither the state bar no
NEBRASKA	Article X of the articles of association of the unified Nebraska State Bar Association, adopted March 24, 1951, contains a pro- vision incorporating ABA Canons 1-36. However, the 1950 amendment of Canon 28 and the 1952 and 1963 amendments to Canon 35 have not been adopted by the association.		NORTH DAKOTA	The state judicial counc 1953, with alterations i is in the 1933 form; and 1937 form, allows photo canons have been neither by the state bar.
NEVADA	The unified State Bar of Nevada adopted Canons 1-36 verbatim on September 15, 1965.		ОНІО	The Supreme Court of ( 1954. These canons ar
NEW HAMPSHIRE	Canon 28 was adopted by the non-unified New Hampshire Bar Association at its annual meeting June 28, 1963. Subsequent motions to adopt the remaining canons were defeated. On			ever, substantial altera 27, and 35 appear in th and the 1952 amendmen
•	May 15, 1964, the justices of the Supreme and Superior Courts unanimously adopted the canon with a recommendation that the lower court judges do likewise. To date, no other canons have been adopted in the state.		OKLAHOMA	Following recommenda ciation in 1952, 1954, a commending adoption fi homa acted to adopt the
NEW JERSEY	The Supreme Court adopted the canons on September 15, 1948, as subsequently revised and now contained in Rule 1:25. Canon 28 is retained in the 1933 form while Canon 35 differs substan- tially from the ABA's.			Oklahoma canons are id of Canon 35 which has b broadcasting during red
NEW MEXICO	The State Bar of New Mexico adopted the canons, with the ex- ception of Canon 35, on June 4, 1941. Current bar rules adopted September 16, 1961 contain the 1941 adopted rules. On Feb- ruary 25, 1969, the Supreme Court adopted Rule 31, which in-		OREGON	The canons were adopte 28, 1935. As approved November 17, 1952, th for the omission of Can in the unamended 1924
	corporates the 35 canons. Canons 19 and 26 omit some of the ABA provisions; and Canons 23, 27, and 31, while substantially similar to the ABA forms, are worded differently.		PENNSYLVANIA	The non-unified Pennsy 1-36 on January 8, 194 ments. However, the 1
NEW YORK	The 36 canons were adopted by resolution of the non-unified New York State Bar Association at its annual meeting in 1930. The ABA's 1937 amendments were adopted on January 22, 1938, and the 1952 ABA amendment to Canon 28 was adopted on January 25,			dition further restrictin adds explanatory footno vania Supreme Court ao 1965.
	1963. A slight change appears in the wording of the first sen- tence of New York Canon 31.		RHODE ISLAND	Neither the Supreme Co

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r nor the Supreme Court has adopted the canons.

ouncil adopted Canons 1-36 on September 25, ns in Canons 11, 19, 32, and 35. Canon 28 and Canon 35, in an altered version of the hotography by permission of the court. The ither promulgated by court order nor ratified

of Ohio adopted Canons 1-36 on January 27, a are largely identical with the ABA's. Howterations in and omissions from Canons 26, a the Ohio code. The wording of Canon 25 ment of Canon 28 is slightly modified.

ndations by the unified Oklahoma Bar Asso-4, and 1957, and a formal application ren filed in 1958, the Supreme Court of Oklathe canons on September 30, 1959. The re identical with the ABA's, with the exception as been altered to allow photographing and recesses under court supervision.

opted by the Oregon State Bar on September wed and ado' ted by the Supreme Court on they are identical with the ABA's, except Canon 27. However, Canons 28 and 30 are 24 form and Canon 35 is in the 1937 form.

Insylvania Bar Association adopted Canons 1949, subsequently adopting all ABA amendhe Pennsylvania version makes a slight adacting the making of political speeches and otnotes to Canons 25 and 28. The Pennsylrt adopted them in this form on February 11,

e Court nor the state bar has adopted the canons.

SOUTH CAROLINA	Neither the Supreme Court nor the state bar has adopted the canons.	· · · ·	11
SOUTH DAKOTA	On September 4, 1942, the State Bar of South Dakota adopted Ju- dicial Canons 1-36. This action was approved by the Supreme Court on October 8, 1942. No amendments have since been adopted.	VIRGINIA (cont.)	"official" for the wo Canon 36 has been m in administering the
TENNESSEE	Canons 1-36, as amended, were adopted by Rule 38 of the Supreme Court and Rule 31 of the Court of Appeals on August 31, 1948. Subsequent ABA amendments have not been adopted.	WASHINGTON	Effective January 2, adopted Canons 1-36 Canon 31 on private of the ABA canon.
TEXAS	The judicial section of the unified State Bar of Texas approved the canons in modified form on September 27, 1963, effective the following January 1. The wording of these canons is on the whole identical with that of the ABA's. Substantial sections	WEST VIRGINIA	Canons 1-36 were ac Appeals on March 27 Canon 35 was adopte
	have been omitted from Canons 9, 19, 25, 26, 28, 29, 30 and 36. Also, the 36 ABA canons have been combined into 29 Texas canons. Canon 35 has been somewhat reworded and includes a listing of specifically prohibited activities. Lesser changes appear in the wording of Canons 14 and 15. It should be noted that these canons presently have merely advisory effect and have not been adopted by the association as a whole.	WISCONSIN	The former voluntar June 22, 1938, but t unified in 1956. To gated a code of judic Though basing its co its provisions into 1 of the ideal judge an
UTAH	Canon 28 was adopted at the annual meeting of the Utah State Bar in December, 1936. Despite a 1940 recommendation by the board of commissioners that the remaining canons be adopted, this did not occur until June 15, 1951. Three days later the Supreme Court approved the canons. These canons are identical with the ABA's 1937 canons except that only the last paragraph of Canon 26 has been adopted.	WYOMING	judicial conduct mer On June 27, 1966, C adopted verbatim by
VERMONT	On December 13, 1965, the Supreme Court of Vermont promul- gated a code of judicial ethics enforceable against all judges serving on the Supreme, Superior and District Courts of the state. Though the code's roots in the ABA canons appear in occasion identical phrasing, the wording and organization of the Vermont canons is on the whole quite different. Provisions functionally equivalent to all ABA canons, with the exception of 1, 2, 6, 8, 11, 18-21, 23, 26, 27 and 34 are included.		
VIRGINIA	The canons were adopted by order of the Supreme Court of Appeals on October 21, 1938. However, no subsequent amend- ments have been adopted. Virginia Canon 7 substitutes the word		

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word "judicial"; Canon 31 varies substantially; n modified to allow for trial court discretion he oath to witnesses <u>en bloc</u>. х |

2, 1951, the Supreme Court of Washington -36 as amended prior to 1950. Washington te law practice omits the first two paragraphs

adopted by rule of the Supreme Court of 27, 1947. The 1952 amendment of Judicial pted by the court on February 25, 1955.

tary bar of Wisconsin adopted the canons on at they were not reaffirmed when the bar was To remedy this, the Supreme Court promuldicial ethics, effective January 1, 1968. code on the ABA's canons, the court divided to 16 standards describing important qualities and 16 rules stating the requirements of meriting official sanction if not followed.

, Canons 1-36 in the present ABA form were by order of the Supreme Court of Wyoming.

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P - Provision parallels the ABA's; substantially rewritten with changed meaning or omission of important sub-provisions

S - Substantial alteration in wording, but provision is consistent with the ABA Canon M - Very minor change in wording, not affecting meaning

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		otion By:	
Court Order	Unified Bar	Non-uni- fied Bar	Judicial Conference
1963			
1956			
		1940	
		1928	1949
1953	•		
1950		1950	
1952			
1941	1950		
1965		1925 (Lapsed)	
1955	1939		
1952	1951		
		1957	1964
		1938	
1958		1948	
		1941	
1953			
1960			
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		1953	
1947			
1966		1950	
1962			
1966			1951
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Adoption By:

	1-5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	2
Montana	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Nebraska	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Nevada	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
New Hampshire																					
New Jersey	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
New Mexico	x	x	x	x	x	x	x	x	x	x	X	x	x	x	P	x	x	x	м	x	x
New York	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
North Carolina																					
North Dakota	x	x	x	x	x	x	М	x	x	x	x	x	x	x	Р	x	x	x	x	x	x
Ohio	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	М
Oklahoma	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Oregon	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Pennsylvania	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Rhode Island																					
South Carolina																		·			
South Dakota	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Tennessee	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Texas	x	x	M	x	Р	x	x	x	x	М	М	x	x	x	Р	x	x	x	x	x	s
Utah	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Vermont	Р		P		P	Р		Р	P	Р	P	Р	Р					Р		P	F
Virginia	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Washington	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	М	x	x	x
West Virginia	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x		x
Wisconsin	Р	Р	P	P	P	P	x	р	P		P	P	P	Р	P	s	P	P	P	P	P
Wyoming	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x

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YEAR	FIRST RECOGNITION BY COURT OR BAR	ADOPTION BY COURT ORDER OR RULE
1950	20. Connecticut (N) 21. Minnesota (N)	8. Connecticut
1951	22. Washington (S) 23. Nebraska (U) 24. Missouri (J) 25. Utah (U)	9. Washington 10. Utah
1952	26. Delaware (S) 27. <b>E</b> daho (U)	11. Delaware 12. Idaho 13. Oregon
1953	28. Maryland (N) 29. Kentucky (S) 30. Colorado (S) 31. North Dakota (J)	14. Kentucky 15. Colorado
1954	32. Ohio (S)	16. Ohio
1955		17. Hawaii
1956	33. Arizona (S)	18. Arizona
1957	34. Illinois (N)	
1958		19. Iowa
1959	35. Oklahoma (S)	20. Oklahoma
1960	36. Louisiana (S)	21. Louisiana
1962	37. Mississippi (S)	22. Mississippi
1963	38. Alaska (S) 39. Montana (S) 40. New Hampshire (#28)(N) 41. Texas (U)	23. Alaska 24. Montana
1964		25. New Hampshire
1965	42. Nevada (U) 43. Vermont (S)	26. Georgia 27. Pennsylvania 28, Vermont
1966	44. Wyoming (S)	29. Minnesota 30. Missouri 31. Wyoming
1968		32. Wisconsin
1969		33. New Mexico

# ADOPTION TIMETABLE

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The forty-four states which have adopted judicial codes (including New Hampshire, which has only adopted Canon 28) are listed in the following table in the order in which they joined the ranks of those adhering to the ABA Canons of Judicial Ethics. Note that the thirty-three states whose supreme courts have adopted judicial codes are listed in both columns. Letters in parentheses signify the initial adopting group: "U" for unified bar; "N" for non-unified bar; "S" for supreme court; and "J" for judicial conference or council.

YEAR	FIRST RECOGNITION BY COURT OR BAR	ADOPTION BY COURT ORDER OR RULE
1925	1. Georgia (N)	
1928	2. California (N)	
1930	3. New York (N)	
1935	4. Oregon (U)	
1938	5. Indiana (N) 6. Virginia (S)	1. Virginia
1939	7. Hawaii (U) 8. ₩išcönsin (N)	· · · · · · · · · · · · · · · · · · ·
1940	9. Arkansas (N)	
1941	10. Florida (S) 11. New Mexico (U) 12. Kansas (N)	2. Florida
1942	13. South Dakota (U)	3. South Dakota
1947	14. Michigan (S) 15. West Virginia (S)	4. Michigan 5. West Virginia
1948	16. Iowa (N) 17. Tennessee (S) 18. New Jersey (S)	6. Tennessee 7. New Jersey
1949	19. Pennsylvania (N)	

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> An excellent short history of the development of the principles on which the ABA Canons are based, with emphasis on the Twelfth through Eighteenth Centuries.

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> Useful insights on the history of the adoption of the Canons by the American Bar Association.

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proposed Canons.

Important for Chief Justice Taft's commentary on the purpose of the

Thoron, G. "A Report on Judicial Ethics." 38 New York State Bar Journal 525-533 (1966). Reprinted from 363 Annals of the American Academy of Political and Social Science 36-43 (1966).

> Evaluates the purpose and effectiveness of the Canons while identifying some problem areas still remaining.

# APPENDIX

# (Reprinted through the courtesy of Martindale-Hubbell, Inc.)

# INDEX

# CANONS OF JUDICIAL ETHICS

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"Craft is the vice, not the spirit, of the profession. Trick is professional prostitution. Falsehood is professional apostasy. The strength of a lawyer is in thorough knowledge of legal truth, in thorough devotion to legal right. Truth and integrity can do more in the profession than the subtlest and wiliest devices. The power of integrity is the rule; the power of fraud is the exception. Emulation and zeal lead lawyers astray; but the general law of the profession is duty, not success. In it, as elsewhere, in human life, the judgment of success is but the verdict of little minds. Professional duty, faithfully and well performed, is the lawyer's glory. This is equally true of the Bench and of the Bar."

# **CANONS OF JUDICIAL ETHICS\***

# Ancient Precedents.

Ancient Precedents. "And I charged your judges at that time, say-ing Hear the causes between your brethren, and judge righteously between every man and his brother, and the stranger that is with him. "Ye shall not respect persons in judgment; but ye shall hear the small as well as the great; ye shall not be afraid of the face of man; for the judgment is God's; and the cause that is too hard for you, bring it unto me, and I will hear it."-Deuteronomy, I, 16-17. "Thou shalt not wrast judgment; thou shalt not respect persons, neither take a gift; for a gift doth blind the eyes of the wise, and pervert the words of the righteous."-Deuteronomy, XVI, 19. "We will not make any justiciaries, constables, stand the law of the realm and are well disposed to observe it."-Magna Charta, XLV. "Judges ought to remember that their office is jus dicere not jus dare; to interpret law, and not to make law, or give law."... "Judges ought to be more learned than witty; more reverend than plausible; and more advised than confident. Above all things, integrity is their portion and proper virtue."... "Patience and gravity of hearing is an es-sential part of justice; and an over speaking judge is no well-tuned cymbal. It is no grace to a judge first to find that which he might have heard in due time from the Bar, or to show quickness of conceit in cutting off evidence or counsel too short; or to prevent information by "The place of justice is a hallowed place; and therefore not only the Bench, but the foot proce and preclects and purprise thereof ought to be preserved without scandal and corruption.". —Bacon's Essay "Of Judicature."

# Preamble.

Preamble. In addition to the Canons for Professional Conduct of Lawyers which it has formulated and adopted, the American Bar Association, mindful that the character and conduct of a judge should never be objects of indifference, and that declared ethical standards tend to become habits of life, deems it desirable to set forth its views respecting those principles which should govern the personal practice of members of the judiciary in the administration of their office. The Association accordingly adopts the following Canons, the spirit of which it suggests as a proper guide and reminder for judges, and as indicating what the people have a right to expect from them.

# 1. Relations of the Judiciary.

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The assumption of the office of judge casts upon the incumbent duties in respect to his personal conduct which concern his relation to the state and its inhabitants, the litigants before him, the principles of law, the practitioners of law in his court, and the witnesses, jurors and

nin, the principles of thew, the placticiples of law in his court, and the witnesses, jurors and
 These Canons, to and including Canon 34, were adopted by the American Bar Association at its Forty-Seventh Annual Meeting, at Philadelphia, Pennsylvania, on July 9, 1924. The Committee of the Association which prepared the Canons was appointed in 1922, and composed of the following: William H. Taft, District of Columbia, Chairman; Leslie C. Cornish, Maine; Robert von Moschzisker, Pennsylvania; Charles A. Boston, New York; and Garret W. McEnerney, California. George Sutherland, of Utah, originally a member of the Committee, retired and was succeeded by Mr. McEnerney. In 1928, Frank M. Angellotti, of California, took the place of Mr. McEnerney.
 Canons 23 and 30 were amended at the Fifty-Sixth Annual Meeting, Grand Rapids, Michigan, August 30-September 1, 1933. Canon 28 was further amended at the Seventy-Third Annual Meeting, Washington, D. C., September 20, 1950. Canons 35 and 36 were adopted at the Sixtieth Annual Meeting, at Kanas City, Missouri, September 30, 1937. Canon 35 was amended at San Francisco, Calif., Sept. 1952.

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attendants who aid him in the administration of its functions. 2. The Public Interest.

**2.** The Public Interest. Courts exist to promote justice, and thus to serve the public interest. Their administration should be speedy and careful. Every judge should at all times be alert in his rulings and in the conduct of the business of the court, so far as he can, to make it useful to litigants and to the community. He should avoid uncon-sciously falling into the attitude of mind that the litigants are made for the courts instead of the courts for the litigants.

# 3. Constitutional Obligations.

It is the duty of all judges in the United States to support the federal Constitution and that of the state whose laws they administer; in so doing, they should fearlessly observe and apply fundamental limitations and guarantees.

# 4. Avoidance of Impropriety.

A judge's official conduct should be free from impropriety and the appearance of impropriety, he should avoid infractions of law; and his personal behavior, not only upon the Bench and in the performance of judicial duties, but also in his everyday life, should be beyond raprosch reproach.

# 5. Essential Conduct.

A judge should be temperate, attentive, pa-tient, impartial, and, since he is to administer the law and apply it to the facts, he should be studious of the principles of the law and diligent in endeavoring to ascertain the facts. 6. Industry.

A judge should exhibit an industry and application commensurate with the duties imposed upon him.

### 7. Promptness.

A judge should be prompt in the performance of his judicial duties, recognizing that the time of litigants, jurors and attorneys is of value and that habitual lack of punctuality on his part justifies dissatisfaction with the administra-tion of the business of the court.

# S. Court Organization.

S. Court Organisation. A judge should organize the court with a view to the prompt and convenient dispatch of its business and he should not tolerate abuses and neglect by clerks, and other assistants who are sometimes prone to presume too much upon his good natured acquiescence by reason of friendly association with him. It is desirable too, where the judicial system permits, that he should cooperate with other judges of the same court, and in other courts, as members of a single judicial system, to pro-mote the more satisfactory administration of justice.

# 9. Consideration for Jurors and Others.

A judge should be considerate of jurors, wit-nesses and others in attendance upon the court. 10. Courtesy and Civility.

10. Courtesy and Civility. A judge should be courteous to counsel, espe-cially to those who are young and inexperienced, and also to all others appearing or concerned in the administration of justice in the court. He should also require, and, so far as his power extends, enforce on the part of clerks, court officers and counsel civility and courtesy to the court and to jurors, witnesses, litigants and others having business in the court.

# il. Unprofessional Conduct of Attorneys and Counsel.

A judge should utilize his opportunities to criticise and correct unprofessional conduct of attorneys and counsellors, brought to his at-tention; and, if adverse comment is not a suf-ficient corrective, should send the matter at once to the proper investigating and disciplinary authorities.

# 23. Legislation

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23. Legislation A judge has exceptional opportunity to ob-serve the operation of statutes, especially those relating to practice, and to ascertain whether they tend to impede the just disposition of con-troversies; and he may well contribute to the public interest by advising those having au-thority to remedy defects of procedure, of the result of his observation and experience.

# 24. Inconsistent Obligations.

A judge should not accept inconsistent duties; nor incur obligations, pecuniary or otherwise, which will in any way interfere or appear to interfere with his devotion to the expeditious and proper administration of his official func-

# 25. Business Promotions and Solicitations for Charity.

**Charity.** A judge should avoid giving ground for any reasonable suspicion that he is utilizing the power or prestige of his office to persuade or coerce others to patronize or contribute, either to the success of private business ventures, or to charitable enterprises. He should, therefore, not enter into such private business, or pursue such a course of conduct, as would justify such suspicion, nor use the power of his office or the influence of his name to promote the business relation which, in the normal course of events reasonably to be expected, might bring his per-sonal interest into conflict with the impartial performance of his official duties.

# 26. Personal Investments and Relations.

20. Personal Investments and Relations. A judge should abstain from making personal investments in enterprises which are apt to be involved in litigation in the court; and, after his accession to the Bench, he should not retain such investments previously made, longer than a period sufficient to enable him to dispose of them without serious loss. It is desirable that he should, so far as reasonably possible, refrain from all relations which would normally tend to arouse the suspicion that such relations wary or blas his judgment, or prevent his impartial attitude of mind in the administration of his judicial duties. He should not utilize information coming to him in a judicial capacity for purposes of specu-lation; and it detracts from the public confidence in his integrity and the soundness of his judicial

in his integrity and the soundness of his judicial judgment for him at any time to become a speculative investor upon the hazard of a margin.

# 27. Executorships and Trusteeships.

27. Executorships and Trusteeships. While a judge is not disqualified from holding executorships or trusteeships, he should not accept or continue to hold any fiduciary or other position if the holding of it would interfere or seem to interfere with the proper performance of his judicial duties, or if the business interests of those represented require investments in enterprises that are apt to come before him judicially, or to be involved in questions of law to be determined by him.

# 28. Partisan Politics.\*

28. Partisan Politics.<sup>9</sup> While entitled to entertain his personal views of political questions, and while not required to surrender his rights or opinions as a citizen, it is inevitable that suspicion of being warped by political bias will attach to a judge who becomes the active promoter of the interests of one political party as against another. He should avoid making political speeches, making or soliciting payment of assessments or con-tributions to party funds, the public endorse-ment of candidates for political office and par-ticipation in party conventions. He should neither accept nor retain a place on any party committee nor act as party leader, nor engage generally in partisan activities. Where, however, it is necessary for judges to be nominated and elected as candidates of a political party, nothing herein contained shall prevent the judge from attending or speaking at political gatherings, or from making contribu-tions to the campaign funds of the party that has nominated him and seeks his election or re-election.

re-election.

• As amended August 31, 1933 and September 20, 1950.

# AMERICAN BAR ASSOCIATION

# 12. Appointees of the Judiciary and Their Com-

personation. Trustees, receivers, masters, referces, guardi-ans and other persons appointed by a judge to ald in the administration of justice should have the strictest probity and impartiality and should be selected with a view solely to their character and fitness. The power of making such appointments should not be exercised by him for personal or partisan advantage. He should not permit his appointments to be con-trolled by others than himself. He should also avoid nepotism and undue favoritism in his appointments. While not hesitating to fix or approve just amounts, he should be most scrupulous in grant-ing or approving compensation for the services or charges of such appointees to avoid excessive allowances, whether or not excepted to or com-

allowances, whether or not excepted to or com-plained of. He cannot rid himself of this responsibility by the consent of counsel.

# 13. Kinship or Infinence.

A judge should not act in a controversy where a near relative is a party; he should not suffer his conduct to justify the impression that any person can improperly influence him or unduly enjoy his favor, or that he is affected by the kinship, rank, position or influence of any party or other person or other nersor

### 14. Independence.

A judge should not be swayed by partisan demands, public clamor or considerations of personal popularity or notoriety, nor be ap-prehensive of unjust criticism.

# 15. Interference in Conduct of Trial.

15. Interference in Conduct of Trial. A judge may properly intervene in a trial of a case to promote expedition, and prevent un-necessary waste of time, or to clear up some obscurity, but he should bear in mind that his undue interference, impatience, or participation in the examination of witnesses, or a severe attitude on his part toward witnesses, especially those who are excited or terrified by the unusual circumstances of a trial, may tend to prevent the proper presentation of the cause, or the as-certainment of the truth in respect thereto. Conversation between the judge and counsel in court is often necessary, but the judge should be studious to avoid controversies which are apt to obscure the merits of the dispute between litigants and lead to its unjust disposition. In addressing coursel, litigants, or witnesses, he should avoid a controversial manner or tone. He should avoid interruptions of counsel in their arguments except to clarify his mind as to their positions, and he should not be tempted to the unnecessary display of learning or a premature judgment. premature judgment

### 16. Ex parte Applications.

10. Ex parte Applications. A judge should discourage ex parte hearings of applications for injunctions and receiverships where the order may work detriment to absent parties; he should act upon such ex parte ap-plications only where the necessity for quick action is clearly shown; if this be demonstrated, then he should endeavor to counteract the effect of the absence of opposing counsel by a scrupu-lous cross-examination and investigation as to the facts and the principles of law on which the application is based, granting relief only when fully satisfied that the law permits it and the emergency demands it. He should remember that an injunction is a limitation upon the freedom of action of defondants and should not be granted lightly or inadvisedly. One applying for such relief must sustain the burden of show-ing clearly its necessity and this burden is in-creased in the absence of the party whose freedom of action is to be restrained even though only temporarily. though only temporarily.

# 17. Ex parte Communications.

A judge should not permit private interviews,

A judge should not permit private interviews, arguments or communications designed to in-fluence his judicial action, where interests to be affected thereby are not represented before him, except in cases where provision is made by law for ex parts application. While the conditions under which briefs of argument are to be received are largely matters of local rule or practice, he should not permit the contents of such brief presented to him to be concealed from opposing counsel. Ordi-narily all communications of counsel to the should be made known to opposing counsel.

is, Continuances. Delay in the administration of justice is a common cause of complaint; counsel are fre-quently responsible for this delay. A judge, without being arbitrary or forcing cases un-reasonably or unjustly to trial when unpre-pared, to the detriment of parties, may well endeavor to hold counsel to a proper apprecia-tion of their duties to the public interest, to their own clients, and to the adverse party and his counsel, so as to enforce due diligence in the dispatch of business before the court.

# 19. Judicial Opinions.

18. Continuances.

19. Judicial Opinions. In disposing of controverted cases, a judge should indicate the reasons for his action in an opinion showing that he has not disregarded or overlooked serious arguments of counsel. He thus shows his full understanding of the case, avoids the suspicion of arbitrary con-clusion, promotes confidence in his intellectual integrity and may contribute useful precedent to the growth of the law. It is desirable that Courts of Appeals in reversing cases and granting new trials should so indicate their views on questions of law argued before them and necessarily arising in the controversy that upon the new trial counsel may be aided to avoid the repetition of erroneous positions of law and shall not be left in doubt by the failure of the court to decide such ques-tions.

by the failure of the court to decide such dues-tions. But the volume of reported decisions is such and is so rapidly increasing that in writing opinions which are to be published judges may well take this fact into consideration, and curtail them accordingly, without substantially de-parting from the principles stated above. It is of high importance that judges con-stituting a court of last resort should use effort and self-restraint to promote solidarity of con-clusion and the consequent influence of judicial decision. A judge should not yield to pride of opinion or value more highly his individual reputation than that of the court to which he should be loyal. Except in case of conscientious difference of opinion on fundamental principle, discenting opinions should be discouraged in courts of last resort.

# 20, Influence of Decisions Upon the Development of the Law.

of the Law. A judge should be mindful that his duty is the application of general law to particular in-stances, that ours is a government of law and not of men, and that he violates his duty as a minister of justice under such a system if he seeks to do what he may personally consider substantial justice in a particular case and dis-regards the general law as he knows it to be binding on him. Such action may become a precedent unsettling accepted principles and may have detrimental consequences beyond the immediate controversy. He should administer his office with a due regard to the integrity of the system of the law itself, remembering that he is not a depositary of arbitrary power, but a judge under the sanction of law.

# 21. Idiosyncrasies and Inconsistencies.

21. Idiosyncrasies and Inconsistencies. Justice should not be moulded by the in-dividual idiosyncrasies of those who administer it. A judge should adopt the usual and expected method of doing justice, and not seek to be extreme or peculiar in his judgments, or spec-tacular or sensational in the conduct of the court. Though vested with discretion in the imposition of mild or severe sentences he should not compel persons brought before him to submit to some humiliating act or discipline of his own devising, without authority of law, because he thinks it will have a beneficial cor-rective influence.

because he thinks it will have a benencial cor-rective influence. In imposing sentence he should endeavor to conform to a reasonable standard of punishment and should not seek popularity or publicity either by exceptional severity or undue leniency.

# 22. Review.

In order that a litigant may secure the full benefit of the right of review accorded to him by law, a trial judge should scrupulously grant to the defeated party opportunity to present the questions arising upon the trial exactly as they arose, were presented, and decided, by full and fair bill of exceptions or otherwise; any failure in this regard on the part of the judge is peculiarly worthy of condemnation because the wrong done may be irremediable.

# CANONS OF JUDICIAL ETHICS

### 20. Self-Interest.

20. Self-interest. A judge should abstain from performing or taking part in any judicial act in which his personal interests are involved. If he has per-sonal litigation in the court of which he is judge, he need not resign his judgeship on that account, but he should, of course, refrain from any judicial act in such a controversy.

### 80. Candidacy for Office.\*

30. Candidacy for Office.\*
A candidate for judicial position should not make or suffer others to make for him, promises of conduct in office which appeal to the cupidity or prejudices of the appointing or electing power; he should not announce in advance his conclusions of law on disputed issues to secure class support, and he should do nothing while a candidate to create the impression that if chosen, he will administer his office with bias, partiality or improper discrimination. While holding a judicial position he should not become an active candidate of any office other than a judicial office. If a judge should decide to become a candidate for any office not judicial, he should resign in order that it cannot be said that he is using the power or prestige of his judicial position to promote his own candidacy or the success of his party. If a judge becomes a candidate for any judicial office, he should refrain from all conduct which might tend to arouse reasonable suspicion that he is using the power or prestige of his judicial position to promote his ownich he should refrain from all conduct which might tend to arouse reasonable suspicion that he is using the power or prestige of his judicial position to promote his function. Which might tend to arouse reasonable suspicion that he is using the power or prestige of his judicial position to promote his candidacy which would reasonable suspicion that he is using the power or prestige of his judicial position to promote his candidacy which would reasonable is a sonably lead to such suspicion.
31. Private Law Practice.

# 81. Private Law Practice.

81. Private Law Practice.
In many states the practice of law by one holding judicial position is forbidden. In superior courts of general jurisdiction, it should never be permitted. In inferior courts in some states, it is permitted because the county or municipality is not able to pay adequate living compensation for a competent judge. In such cases one who practises law is in a position of great delicacy and must be scrupulously careful to avoid conduct in his practice whereby he utilizes or seems to utilize his judicial position to further his professional success. He should not practise in the court in which he is a judge, even when presided over by another judge, or appear therein for himself in any controversy.
If forbidden to practise law, he should refrain from accepting any professional employment while in office.
He may properly act as arbitrator or lecture upon or instruct in law, or write upon the subject, and accept compensation therefor, if such course does not interfere with the due performance of his judicial duties, and is not forbidden by some positive provision of law.

# 32. Gifts and Favors.

A judge should not accept any presents or favors from litigants, or from lawyers practising before him or from others whose interests are likely to be submitted to him for judgment.

# 33. Social Relations.

33. Social Relations. It is not necessary to the proper performance of judicial duty that a judge should live in re-tirement or seclusion; it is desirable that, so far as reasonable attention to the completion of his work will permit, he continue to mingle in social intercourse, and that he should not discontinue his interest in or appearance at meetings of members of the Bar. He should, however, in pending or prospective litigation before him be particularly careful to avoid such action as may reasonably tend to awaken the action as may reasonably tend to awaken the suspicion that his social or business relations or friendships constitute an element in in-fluencing his judicial conduct.

# 34. A Summary of Judicial Obligation.

34. A Summary of Judicial Obligation. In every particular his conduct should be above reproach. He should be conscientious, studious, thorough, courteous, patient, punctual, just, impartial, fearless of public clamor, re-gardless of public praise, and indiferent to private political or partisan influences; he should administer justice according to law. and

• As amended August 81, 1983.

deal with his appointments as a public trust; he should not allow other affairs or his private interests to interfere with the prompt and proper performance of his judicial duties, nor should he administer the office for the purpose of advancing his personal ambitions or increas-ing his popularity.

35, Improper Publicising of Court Proceedings.\* 25. Improper Publicising of Court Proceedings." Proceedings in court should be conducted with fitting dignity and decorum. The taking of photographs in the court room, during sessions of the court or recesses between sessions, and the broadcasting or televising of court proceed-ings detract from the essential dignity of the proceedings, distract participants and witnesses in giving testimony, and create misconceptions with respect thereto in the mind of the public and should not be permitted. Provided that this restriction shall not apply to the broadcasting or televising, under the

• Adopted September 30, 1937; amended Sep-tember 15, 1952 and February 5, 1963.

supervision of the court, of such portions of naturalization proceedings (other than the in-terrogation of applicants) as are designed and carried out exclusively as a ceremony for the purpose of publicly demonstrating in an impres-sive manner the essential dignity and the seri-ous nature of naturalization.

36. Conduct of Court Proceedings.\*

36. Conduct of Court Proceedings.<sup>e</sup> Proceedings in court should be so conducted as to reflect the importance and seriousness of the inquiry to ascertain the truth. The oath should be administered to witnesses in a manner calculated to impress them with the importance and solemnity of their promise to adhere to the truth. Each witness should be sworn separately and impressively at the bar or the court, and the clerk should be re-quired to make a formal record of the admin-istration of the oath, including the name of the witness. the witness.

\* Adopted September 30, 1937.

"Discourage litigation. Persuade your neighbors to compromise whenever you can. Point out to them how the nominal winner is often a real loser-in fees, expenses and waste of time. As a peacemaker, the lawyer has a superior opportunity of being a good man. Never stir up litigation. A worse man can scarcely be found than one who does this: Who can be more nearly a fiend than he who habitually overhauls the register of deeds in search of defects in titles, whereupon to stir up strife and put money in his pocket? A moral tone ought to be enforced in the profession which would drive such men out of it."

-ABRAHAM LINCOLN

