TOPIC 1 - ETHICS, MORALITY & THE LEGAL PROFESSION	
Ethics & Morality	
Key Sources of ethical obligations	
Common law:	
The law of equity imposes a number of obligations on a lawyer, which include:	
Regulatory Framework	
List	
Regulatory Bodies:	
Law Institute of Victoria:	
Professionalism	
Cases:	
Uniform Law:	7
TOPIC 2 - ADMISSION TO PRACTICE	7
Admission Requirements	7
Educational Requirements:	8
State & Territory Admission Requirements:	8
Practical Legal Training:	8
Obligations	8
Character Requirements: - Good Fame and Character - LPUAR 2015, Rule 10(1))f 9
'Fit and Proper Person' Requirements	
Moral Character:	
Academic Misconduct:	
Criminal Behaviour:	
Prior Improper Conduct:	
Disciplined while lawyer in another Jurisdiction:	
Disciplined while working in another profession:	
Mental Instability:	
Political Activity:	
Re-admission circumstances	
Supervision following admission:	
Overseas legal practitioners:	
Seeking Re-admission:	
Learning never ceases:	
Signing the roll as a Barrister	
The Path to becoming a Barrister:	
Schedule 5:	
Guide for applicants:	
Disclosure Guidelines:	
TOPIC 3 - MONEY MATTERS	
Key Issues:	
Retainer:	_
A retainer includes the various components of the lawyer-client relationship	
Fiduciary Obligations	
Parameter of Duties	
Prevent borrowing money – r12.3 LPULASCR	
Terminating a retainer – r14 LPULASCR	
Insurance/Fidelity	
Professional Indemnity Insurance:	
Legal Practitioners Fidelity Fund:	
Costs:	
Definition	
Costs agreements and disclosure statements:List of relative sections - S172-9, 187 Uniform law	
Costs Agreement: - \$179 III.	19 19

Disclosure Statements:	20
Costing Methods:	20
Court Scales of Costs:	
Practitioners Remuneration Order:	
Time Billing:	21
Criticisms of this method include:	
Agreed Pricing/Fixed Fee:	21
Conditional Costs Agreements s181 Uniform Law:	
Prohibition on Contingency fees - Uniform Law s183:	
Costs – Further (including legislation)	
Bill of Costs - Uniform Law s187:	
Recovering costs from the other party:	
Lawyer/Client costs:	
Party/party costs:	
Indemnity Costs:	
Costs Disputes:	
Complaints:	
Costs Assessment:	
When a Client doesn't pay:Solicitor's Lien:	
Retainer Lien:	
Particular Lien:	
Trust Account s129 UL:	
Authorisation to receive trust money:	25 26
Trust money defined:	20 26
Trust money defined:	
Other forms of money:	
Transit Money	
Controlled Money	
Power Money - Application Act SS78	
Prohibition on mixing trust money with law practice money:	27 28
Deficiency:	
External Examiners:	
Investigators:	
Irrevocable Authorities:	
MODIC 4 DAMENT OLAND TO CLARATE	
TOPIC 4 - DUTIES OWED TO CLIENTS	
Two Principle Duties:	
Further Quasi-fiduciary Duties:	
Duty to be Competent:	
Standard of Care	
Act in the best interests of the client – r4.1.1 ASCR	
Acting with due skill and diligence, reasonable promptness and courtesy (Le	
Profession Uniform Continuing Professional Development Rules):	
Competence, diligence and reasonable promptness – ASCR 4.1.3	
Courtesy - ASCR r4.1.2:	
Lawful, proper and competent instructions ASCR r8.1:	
Timely Work and ongoing updates R 7.1 ASCR: Costs:	
Communication of advice Rule 7.1, 4.1.2 ASCR:	
Duty of Loyalty:	
The duty of loyalty creates several other quasi-fiduciary duties:	
The Client (sometimes you may not know who it is):	
Lawyer-client conflict ASCR Rule 12.	
Secret profits or commissions r12.4.3:	
Commissions from third parties - r12.4.3	
COMMITTED TO THE COMMITTED AND A PARTICLE OF THE PROPERTY OF T	

Borrowing Money - r12.3:	33
Undue Influence r12.2:	
Receiving a benefit under a will:	33
Concurrent conflict ASCR r11:	34
Professional conduct rules:	34
Potential Conflicts:	34
Actual conflict arises in the course of a matter - r11.5	35
Specific Transactions (List + Exceptions):	35
Successive Representation:	
Principles:	35
Professional Conduct Rules:	
Confidential Information:	
What are getting to know you factors:	
Restraining lawyers from acting:	
What amounts to a related matter:	
Information Barriers:	
Professional Conduct Rules - r10.2:	
Successive Client Conflict:	
Three Stage Test	
Concurrent Client Conflict:	
Family Law and Potential Conflicts:	
Criminal Matters:	
Lawyer-Witness Rule r27:	
Locum Lawyers:	
Consequences of continuing to act where there is a conflict:	
Confidentiality and Privilege	
Confidentiality ASCR r9:	
What is NOT a breach of Confidentiality – r9	
Modern Day Risks to Maintaining Confidentiality:	
Possible consequences for breaching the duty of confidentiality:	
Inadvertent Disclosure - ASCR r31	
Privilege:	
Two Types of Privilege	
Advice Privilege	
Litigation Privilege	
Search Warrants and Privilege:	
Lawyers and the media – r28.1	
Guilty Clients – r20.2 (dealt with in Topic 5)	
What can override privilege:	
Consequences of breach of duties owed to the client:	
Negligence:	
Liability in Tort:	
Standard of Care:	
Contributory negligence:	
Positive Steps:	
Specialist lawyer:	
Lawyer's obligation to cover matters outside the express retainer:	
Negligent misstatement:	
Wills and Negligence:	
TOPIC 5 - DUTIES OF LAWYERS TO THE COURT	
Duties of Lawyers to the Court:	
Paramount duty ASCR 3.1:	45
Court etiquette:	46
Independence ASCR 17.1, 17.2, 8.1 + 4.1.4:	
Lawyer called as a witness when acting in the matter ASCR 27: (see Barr	-
Rule 27)	
Conflict of Interest:	47

Surety for Client's Bail: - ASCR r17.4	
Intimate Relationships:	
Candour and Frankness ASCR 19:	
Ex Parte Applications – r19.4/r19.5	
Abuse of Court Process:	
False Documents: False Claims:	
Professional Conduct Rules – r17.2	
Baseless accusations or allegations ASCR 21:	
Hopeless Cases:	
Half Truths:	
Destruction of Documents:	
Admission of Guilt ASCR 20:	
Perjury (Now refers to 'lie' - ASCR 20.1) and/or Intention to disobey court order by	
client (ASCR 20.3): Interaction with the opposition:	
Opposition errors and obligations to correct ASCR 19.3:	
Affording the opposition courtesy:	
Communication with the other party ASCR 33.1:	
Self Represented Litigants: - counts as an 'opponent'	
Interaction with witnesses	
Barrister's Immunity:	52
TOPIC 6 - DUTY OF LAWYERS TO THE PROFESSION	52
Business Operations:	
Consumer law requirements:	
Practice Name - r9 of LPULPSR (don't get confused with ASCR)	
Business Structures (includes intention to engage/terminate)	
Incorporated legal practice:	
Multi-disciplinary Practices:	
Sole Practices:	
Chambers:Advertising (False claims etc. – when lawyer in doubt, always check ASCR apparen	
Storage of Client Records:	
Conducting other businesses (Legal Profession Uniform Legal Practice (Solicitors)	
R8:	
Conduct in relation to other lawyers	
Communications:	
Taking over a matter from another lawyer ASCR 15:	
Selling, transferring or closing a law firm (Solicitors Practice Rules 6.1, 6.2):	
Communicating with another lawyer's client (covered in Topic 5):Lawyers duties and third parties:	
Liability Issues:	
Referral Fees:	
Undertakings - overall ASCR r6:	
Professional Conduct Rules:	
Undertakings given in Victoria:	61
Prohibited Undertakings:	
Consequences of a failed undertaking:	
Debt collection or mercantile agencies: - governed by [LPULP(S)R] Solicitors Practi	
[not Conduct] Rules, R 7 Anti-discrimination and harassment:	
COMPLAINTS & DISCLIPINE KEY LEGISLATION	
Uniform Law:	
Chapter five:	
A Solicitor – conduct was so remote from professional practice that it was erroneous	
Mullins – mediation where a lawyer's actions mislead	
Kyle (a Barrister) – misleading court	65

Clyne – lawyer instigates a baseless prosecution	65
Jackson – Professional misconduct over signatures	65
Lamplugh – lawyer 'witnessed' a pre-existing signature	65
Johnson – offensive language (example of multiple acts of misconduct)	65
Oldham – competency when taking on cases	65
Nixon - trust account breaches	65
Cantwell - Misleading court	66
Foreman - Failure to properly supervise/monitor	66
Mayes - failure to supervise arise from conduct of a partner, situation between 2	
partners	66
Foreman (No 2) – falsified timesheets with cost agreement	66
Spicehandler - engaging in legal practice without authorisation	66
Crowley - Corruption	

TOPIC 1 - ETHICS, MORALITY & THE LEGAL PROFESSION

Ethics & Morality

In the case of a lawyer, it is through a lawyer's membership of the legal profession that dictates one's ethics. Morals are more usually associated with a person's own principles that dictate what is right and wrong conduct. Ethics relates to a set of principles, rules or standards that govern the conduct of a person or the members of a profession or organisation. Ethics derives from the Greek ethos.

Ethics may be regarded as knowing what is right, doing what is right, and feeling what is right. Ethics concerns explicit codes of conduct as well as value systems. Ethics is a highly explicit codified form of behaviour designed or produce particular ends and act in accordance with particular values.

Profession ethics is the values and rules of conduct of an occupational group. In the context of the legal profession, if a lawyer does not follow the ethical rules required by the legal profession then a range of consequences may come into play. Morals on the other hand, are based on a persons ideals and principles that guide their personal conduct in respect of what is right and wrong. Rather than morals being connected with what the profession sees as correct conduct, they are based on one's own personal beliefs.

A lawyer during his or her career may be faced with a situation where the ethics that govern the profession conflict with the lawyer's personal morals. One of the most difficult lessons for lawyers to learn is how to manage the conflict between their own morals and the ethical obligations placed on them.

<u>Values:</u> Principles or qualities which we consider worthy or desirable.

Beliefs: Acceptance of an idea or statement of fact as being true.

Conventions: Unwritten rules and practices governing the behaviour of a social or

professional group.

Key Sources of ethical obligations