	ORIGINAL RECEIVED	
1	2012 SEP 14 PM 3: 47	
2	Unstalled plr 13/21/12	
3	S Unsealed per 12/12 SEP 14 PM 3:47 E opinion. FILED	
5	SEP 1 8 2012	
6	TRACIE K. LINDEMAN	
7	BY / Y/AWW	
8		
9		
10		
11		
12		
13		
14		
15		
16		
17		
18		
19 20		
20		
21		
23	Federal Public Defender	
24	411 E. Bonneville Ave., Ste. 250 Las Vegas, NV 89101 (702) 288 6577	
25	Las Vegas, NV 89101 (702) 388-6577 Fax (702) 388-6261	
26		
27		
28		
	12-40881	

*	. ORIGINAL DECEMPED			
1	IN THE SUPREME COURT OF THE STATE OF NEVADA			
2	**************************************			
3	SAMUEL HOWARD			
4	Appellant,	Case No. 57469		
5	VS.			
6 7	RENEE BAKER, WARDEN, and CATHERINE CORTEZ MASTO, ATTORNEY GENERAL FOR THE STATE OF NEVADA,			
8 9	Respondents.			
9 10				
11	EX-PARTE MOTION FOR SUBSTITUTION OF COUNSEL FILED UNDER SEAL			
12	Appellant, Samuel Howard, through undersigned counsel, files this Ex-Parte			
13	Motion for Substitution of Counsel, filed under seal. This Motion is based upon the			
14	attached points and authorities and all pleadings and papers in file herein.			
15	Dated this 14th day of September, 2012.			
16	LAW OFFICES OF THE FEDERAL PUBLIC DEFENDER			
17				
18	Im. AT			
19 20		RI C. TEICHER		
20 21	First Assistant Federal Public Defender Nevada State Bar No. 6143 <u>LOPLE FOR MERAN</u> <u>MEGAN C. HOFFMAN</u> Assistant Federal Public Defender			
21				
23				
24				
25	Nevada State Bar No. 9835 411 E. Bonneville Ave., Suite 250			
26	Las Vegas, Nevada 89101 (702) 388-6577 Counsel for the Appellant			
27				
28				

.

, . .

POINTS AND AUTHORITIES

I.

PROCEDURAL HISTORY

Mr. Howard is in the custody of the State of Nevada at the Ely State Prison in Ely, Nevada, pursuant to a state court judgment of conviction and sentence of death entered on May 6, 1983, in the Eighth Judicial District Court, Clark County, Nevada, by the Honorable John F. Mendoza, Case No. C53867. 7 AA 1572-1573, 1592.¹

Mr. Howard has appealed from an order by the district court dismissing his amended petition for writ of habeas corpus (post-conviction) challenging his conviction and death sentence. 14 AA 3366-3401. Notice of entry of the order was filed on December 6, 2010. 14 AA 3402. Mr. Howard filed a timely notice of appeal. 14 AA 3404-3405. Mr. Howard's opening brief was filed on May 12, 2011, the State answered on September 12, 2011 and Mr. Howard replied on November 9, 2011. The case is submitted for argument (at the request of this Court) and decision.

The Supreme Court decided two important § 2254 habeas opinions last term. The Court decided <u>Maples v. Thomas</u>, 132 S.Ct. 912 (January 18, 2012) and shortly thereafter, issued <u>Martinez v. Ryan</u>, 132 S. Ct. 1309, 1315 (March 20, 2012). Both cases present procedural rulings that offer the potential for new litigation of significant state post-conviction counsel issues. Our capital habeas unit quickly convened after the issuance of each opinion and developed an appropriate course of action to investigate and fully explore how each opinion may be relevant to every client's case.

Our investigation led to the discovery of a compelling conflict of interest preventing the ability of the Office of the Federal Public Defender to continue as counsel in this case. In short and discussed more fully below, current and former

 ¹ Citations to "AA" refer to the Appellant's Appendix recently filed with
 this Court. The undersigned counsel respectfully refers the Court to the Statement of
 the Case presented in Mr. Howard's Opening Brief for a full procedural history. See
 Opening Brief at 1-4.

employees of this office bolstered Howard's previous post-conviction counsel, Patricia Erickson's reputation as a qualified death penalty attorney before the courts and bar, despite their close personal relationship with Ms. Erickson and knowledge of her inability to effectively represent her clients.

The undersigned counsel and Federal Defender Rene Valladares spent substantial hours analyzing the potential conflict of interest, including consultation with outside counsel regarding the ethical implications of the conflict. The difficult decision was made that this office could no longer represent Mr. Howard due to the conflict of interest. Mr. Valladares immediately notified the courts of the conflict as soon as the final decision was made that it would be necessary for this office to withdraw as counsel. Next, Federal Defender Services for Idaho agreed to substitute and accept representation of Mr. Howard's case. This substitution was promptly presented and approved by the Administrative Office of the Courts in Washington D.C., as well as by Chief Judge Kozinski of the Ninth Circuit Court of Appeals.

A new attorney team from the Idaho office was assembled and traveled with the undersigned counsel and members of this office to the Northern Nevada Correctional Center to meet with Mr. Howard on May 24, 2012. Both current and new counsel fully discussed and explained the need to substitute counsel with Mr. Howard. Mr. Howard agreed to the proposed substitution request. The process of transferral of Mr. Howard's case has taken time to deliberately and thoroughly ensure that Mr. Howard's rights are protected.

A motion for substitution has been granted in the Ninth Circuit Court of Appeals, allowing for the substitution of Assistant Federal Public Defenders Teresa Hampton and Brady Ward King to represent Mr. Howard in his Ninth Circuit Court of Appeals case, No. 10-99003, Docket Entry 43.² It is imperative that this case

1

2

3

4

5

6

7

² The Office of the Federal Public Defender for the District of Nevada has been removed from a total of five capital cases due to this conflict, with Federal (continued...)

continue to be litigated by unconflicted counsel.

II.

ARGUMENT

Effective assistance of counsel carries with it "a correlative right to representation that is free from conflicts of interest." Wood v. Georgia, 450 U.S. 261, 271 (1981); Holloway v. Arkansas, 435 U.S. 475 (1978). An actual conflict of interest negates the unimpaired loyalty that a defendant is entitled to expect and received from his attorney. Cuyler v. Sullivan, 446 U.S. 335, 356 (1980). When counsel labors under a conflict of interest that adversely affects counsel's performance, there is an "actual conflict" for Sixth Amendment purposes, not merely a potential conflict, and reversal must ensue without any need for an inquiry into prejudice. Id. at 349-50. "Conflict of interest and divided loyalty situations can take many forms, and whether an actual conflict exists must be evaluated on the specific facts of each case. In general, a conflict exists when an attorney is placed in a situation conducive to divided loyalties. Smith v. Lockhart, 923 F.2d 1314, 1320 (8th 16 Cir. 1991).

17

18

19

20

21

22

23

24

25

1

2

3

4

5

6

7

8

9

10

 11^{-1}

12

13

14

15

Duties of Capital Counsel A.

Under the ABA Guidelines, capital counsel is required to investigate and present all arguably meritorious issues. See, e.g., Guidelines 10.7, 10.8, 10.11 and 10.15.1, ABA Guidelines for the Appointment and Performance of Defense Counsel in Death Penalty Cases, (rev. ed. 2001), reprinted in 31 Hofstra L.Rev. 913, 1015-(2003). These guidelines recognize the unique nature of a capital case, and that [d]ue to the extraordinary and irrevocable nature of the penalty, at every stage of the

 $^{2}(\dots \text{continued})$ Defender offices in the Central District of California and Arizona appointed to represent the four other clients. <u>See Curtis Guy v. Renee Baker et al.</u>, 2:11-cv-01809-GMN-RJJ; <u>Rodney L. Emil v. Renee Baker et al.</u>, 3:00-cv-0654-KJD-VPC; <u>Patrick</u> 26 27 <u>Charles McKenna v. Renee Baker et al.</u>, 2:11-cv-0191-JCM-PAL; <u>Charles Robins v.</u> <u>Renee Baker et al.</u>, 2:99-cv-0412-LRH-PAL. 28

proceedings counsel must make 'extraordinary efforts on behalf of the accused." 31 2 Hofstra L.Rev. at 923, citing ABA Standards for Criminal Justice: Defense Function, 3 Standard 4-1.2(c), in ABA Standards for Criminal Justice: Prosecution Function and 4 Defense Function (3d ed. 1993). Specifically, Guideline 10.8(A) concerns the duty 5 to assert legal claims, outlining that counsel should

consider all legal claims potentially available; and thoroughly investigate the basis for each potential claim before reaching a conclusion as to whether it should be asserted...evaluating each potential claim in light of...the near certainty that all available avenues of post-conviction relief will be pursued in the event of conviction and imposition of a death sentence; and the importance of protecting the client's rights against later contentions by the government that the claim defaulted, not exhausted has been waived, otherwise or defaulted....Counsel who decide to assert a particular legal claim should present the claim as forcefully as possible.

Further, Guideline 10.8(C) states that "[c]ounsel at all stages should keep under

13 consideration the possible advantages to the client of: 1) asserting legal claims whose

14 basis has only recently become known or available to counsel; and 2) supplementing

claims previously made with additional factual or legal information." 15

Counsel also must adhere to the standards of conduct prescribed by the Nevada

17 Rules of Professional Conduct, except as modified by this Court. Local Rule 10-7.

18 Rules of Professional Conduct that may be applicable where a conflict of interest is

at issue include:

1

6

7

8

9

10

11

12

16

19

21

22

23

25

26

27

28

. 20 NRPC 1.7(a)(2) provides that:

> a lawyer shall not represent a client if the representation involves a concurrent conflict of interest. A concurrent conflict of interest exists if...[t]here is a significant risk that the representation of one or more clients will be materially limited by...the lawyer's responsibilities to a third person or by a personal interest of the lawyer.

24 NRPC 1.10(a) provides that:

> while lawyers are associated in a firm, none of them shall knowingly represent a client when any one of them practicing alone would be prohibited from doing so by Rule 1.7...unless the prohibition is based on a personal interest of the prohibited lawyer and does not present a significant risk of materially limiting the representation of the client by the remaining lawyers of the firm.

NRPC 1.16(a)(1) provides that a lawyer "shall withdraw from the representation of a client if the representation will result in violation of the Rules of Professional Conduct or other law." NRPC 1.16(b)(1) provides that "a lawyer may withdraw from representing a client if [w]ithdrawal can be accomplished without material adverse effect on the interests of the client." Finally, NRCP 3.7(a) provides that "[a] lawyer shall not act as advocate at a trial in which the lawyer is likely to be a necessary witness...."

Conflict of Interest B.

1

2

3

4

5

6

7

8

9

11

21

1. **Legal Standards**

10 The right to effective assistance of counsel carries with it "a correlative right to representation that is free from conflicts of interest." Wood v. Georgia, 450 12 U.S. 261, 271 (1981); Holloway v. Arkansas, 435 U.S. 475 (1978). An actual conflict 13 of interest negates the unimpaired loyalty that a defendant is entitled to expect and 14 received from his attorney. Cuyler v. Sullivan, 446 U.S. 335, 356 (1980). When 15 counsel labors under a conflict of interest that adversely affects counsel's 16 performance, there is an "actual conflict" for Sixth Amendment purposes, not merely 17 a potential conflict, and reversal must ensue without any need for an inquiry into prejudice. Id. at 349-50. "Conflict of interest and divided loyalty situations can take 18 19 many forms, and whether an actual conflict exists must be evaluated on the specific facts of each case. In general, a conflict exists when an attorney is placed in a 20 situation conducive to divided loyalties. Smith v. Lockhart, 923 F.2d 1314, 1320 (8th Cir. 1991). 22

23 This office has an ethical obligation to avoid conflicts of interest and advise the 24 court promptly when a conflict exists. Cuyler, 446 U.S. at 335. "A trial court must 25 be able to rely upon the good faith and judgment of counsel, for they are in the best position to know when a conflict exists.... Likewise, the trial court must be able to 26 27 rely upon counsel's representations concerning conflict between clients." United 28 States v. Linton, 502 F.Supp. 871 (Nev. 1980) (citations omitted).

Every client is entitled to the right of undivided loyalty by his attorney. "[T]he right to counsel guaranteed by the Constitution contemplates the services of an attorney devoted solely to the interests of his client." <u>Von Moltke v. Gilies</u>, 332 U.S. 708, 725 (1948). This Court has "an obligation to apply the principle whenever counsel is so situated that the caliber of his services may be substantially diluted. Competition between the client's interests and counsel's own interests plainly threatens the result, and we have no doubt that the conflict corrupts the relationship when counsel's duty to his client calls for a course of action which concern for himself suggests that he avoid." <u>See United States v. Hurt</u>, 543 F.2d 162, 167 (D.C. Cir. 1976) (court erred in not appointing new counsel for post-conviction hearing where trial counsel had brought libel suit against appellate counsel regarding ineffective assistance claims and suit created dilemma for appellate counsel to aggressively proceed due to worry of civil suit).

A defendant "should also expect that [his] lawyer will use every skill, expend every energy, and tap every legitimate resource in the exercise of independent professional judgment on behalf of the client and in undertaking representation on the client's behalf." Thomas v. Municipal Court, 878 F.2d 285, 289-90 (9th Cir. 1989). See also United States v. Rewald, 889 F.2d 836 (9th Cir. 1989) (court did not err in removing counsel from successive representation of clients as notwithstanding the court's opinion of counsel's integrity, the potential for conflict was determinative where attorney's representation of one client could be viewed as basis for obtaining information that could be used to another client's detriment and that client's benefit). In a situation with conflicting interests, "the evil . . . is in what the advocate finds himself compelled to refrain from doing." Holloway v. Arkansas, 435 U.S. 475, 490 (1978)(emphasis in original). The assistance of counsel must be unimpaired by any influence of conflicting interests. Confidence in the integrity of the criminal justice system and avoidance of impropriety is essential. See People v. Jackson, 213 Cal. Rptr. 521 (Ca. Ct. App. 3d 1985)(appointed counsel's failure to inform defendant of

dating relationship with prosecutor required reversal).

1

2

3

4

5

6

7

8

9

10

The general rule of vicarious disqualification provides that if a lawyer is ineligible to represent a particular client, all members of the firm are also ineligible. Model Rules of Professional Conduct Rule 1.10(a) (1989) provides that "while lawyers are associated in a firm, none of them shall knowingly represent a client when any one of them practicing alone would be prohibited from doing so." The basis for this premise is the presumption of shared confidences, which seeks to prevent disclosure of client confidences, preserve loyalty and avoid the appearance of impropriety. See, e.g., Fund of Funds, Ltd. v. Arthur Anderson & Co., 567 F.2d 225 (2d Cir. 1977).

11 A potential solution to vicarious disgualification of the entire office is a 12 screening mechanism or construction of a "conflict wall." Ethical and public policy 13 concerns dictate that screening of lawyers may be used to rebut the presumption of 14 shared confidences or avoid a conflict to be necessarily imputed to an entire law firm. 15 See Ryan's Express Transportation Services, Inc. v. Amador Stage Lines, Inc., 128 Nev. Adv. Rep. 27, 279 P.3d 166 (2012). However, Nevada Rule of Professional 16 17 Conduct 1.10(e)(1) permits screening only where a disqualified lawyer did not have a "substantial role in or primary responsibility for the matter that causes the 18 19 disqualification." Factors to be considered as to whether adequate screening measures could be implemented include: (1) instructions given to ban the exchange 2021 of information between the disgualified attorney and other members of the firm; 2) 22 restricted access to files and other information about the case; 3) the size of the law 23 firm and its structural divisions; 4) the likelihood of contact between the quarantined 24 lawyer and other members of the firm; and 5) the timing of the screening. Ryan's 25 Express, 128 Nev. Adv. Rep. at 12.

Implementation of a screening mechanism allowing for this office's continued
representation of Mr. Howard raises substantial concerns. Any appearance of a
breach of the lawyer's duty of undivided loyalty may have adverse effects on the

judicial system, as well Mr. Howard's case. A central foundation in representation is that every attorney will, within the bounds of legal and ethical norms, engage in zealous, uninhibited representation of their client's positions. When loyalties to another impair a client's representation, it undermines the legitimacy of the system. This is especially true with the stakes at issue here, the ultimate penalty imposed of death.

Finally, even if a screening mechanism could effectively be put into place, withdrawal is necessary when the client's lawyer has the potential to become a witness. <u>See United States v. Basham</u>, 561 F.3d 302, 322-26 (4th Cir. 2009)(trial court did not abuse discretion removing appointed counsel due to prosecution's intent to call defense counsel as a witness to defendant's inculpatory statement. Court removed counsel "out of an abundance of counsel" due to potential of attorney testifying at trial and potential future argument that defense counsel tried case to avoid testifying in a way that would be prejudicial to client.); <u>State v. Regan</u>, 177 P.3d 783, 789 (Wash. Ct. App. 2008)(State intended on calling defense counsel to testify regarding bail jumping charge at trial. Trial court should have removed counsel as "putting defense counsel in position of a prosecution witness is something that should be avoided whenever possible."(citations omitted)).

Courts "generally presume that the lawyer is fully conscious of the overarching duty of complete loyalty to his or her client." <u>Burger v. Kemp</u>, 483 U.S. 776, 784 (1987). While it is recognized that disqualification of an attorney or office is a "drastic measure which courts should hesitate to impose except when absolutely necessary, . . . there are obviously are situations where [withdrawal] is legitimate and necessary." <u>Freeman v. Chicago Musical Instrument Co.</u>, 689 F.2d 715, 721-22 (7th Cir. 1982). This is the unfortunate situation here; there is no practicable solution to allow for the continued representation of Mr. Howard. A situation akin to that noted by the Supreme Court in <u>Maples v. Thomas</u>, whereby conflicted counsel continued representation of Maples after the default and the Court noted the implausible continued representation after discovery of the firm's negligence. <u>See Maples</u>, 132 S. Ct. 912, 925 n.8. Withdrawal of this office as counsel is legitimate and necessary to protect Mr. Howard's statutory right to counsel in this capital case.

2. Analysis

1

2

3

4

5

6

7

8

9

10

11

12

13

14

15

16

a. Nature of Conflict of Interest

The conflict of interest at issue stems from the relationship between Mr. Howard's former post-conviction counsel, Patricia Erickson, and certain previous and current employees of this FPD office. As previously indicated, Ms. Erickson represented Mr. Howard in his state (and federal) habeas proceedings during the years of 1994 to 2007. Recent investigation by this office has determined that upon knowledge, information and belief, Ms. Erickson has effectively abandoned and provided ineffective representation to many of her capital clients (including Mr. Howard) throughout these years. Ms. Erickson repeatedly failed to file pleadings in a timely manner, failed to file pleadings at all, and was repeatedly chastised and sanctioned by this Court for these failings and unprofessional conduct. Ms. Erickson was referred to the State Bar by this Court in 2010 due to this course of conduct.

17 Recent investigation has also revealed that upon knowledge, information and 18 belief, both former Federal Defender Franny Forsman and current Chief of the Capital 19 Habeas Unit, Michael Pescetta have repeatedly vouched through testimony and 20 affidavits regarding Ms. Erickson's effectiveness and fitness to practice law. This 21 vouching and ratification of Ms. Erickson's abilities occurred before this Court, the 22 federal district court and before the Nevada State Bar. Investigation suggests that 23 both Ms. Forsman and Mr. Pescetta knew of Ms. Erickson's problems and were given 24 information from other professionals that Ms. Erickson was not performing 25 effectively on her death penalty cases. Further investigation has determined that Ms. 26 Forsman may have failed to recognize Ms. Erickson's failings due to their personal 27 friendship, and Mr. Pescetta may have failed to recognize the same due to his 28 romantic and personal relationship with Ms. Erickson.

This conflict is fatal and must be imputed to all other members of the office. This is not a conflict where a screening mechanism could sufficiently allow for continuation of representation by other members of the office. No matter how well intentioned this office is in carrying out its legal responsibilities to Mr. Howard, counsel may be subject to subtle influences manifested in a reluctance to engage in confrontation with counsel's past (Forsman) superior and current immediate superior (Pescetta) or to fully investigate the issues. The mere perception that the attorneys assigned to Mr. Howard's case may not engage in aggressive oral argument, discovery, examination and presentation of appropriate <u>Martinez</u> or <u>Maples</u> issues that may alienate or embarrass present or former management in the office proves that the only reasonable solution is substitution of counsel. Isolation of the attorney will not solve these problems. Continued representation will result in insurmountable problems of line drawing in this capital case. An adequate screening process is impractical and impossible because the conflict involves the capital habeas chief, who manages every attorney and staff member within the unit.

b. Implications in Post-<u>Maples</u>,³ <u>Martinez</u>⁴ World

The Supreme Court has recently elevated the importance of counsel in state post-conviction proceedings, particularly in capital cases. The Court previously held that a defense attorney's ignorance or inadvertent mistake in state court proceedings did not qualify as "cause" to excuse a procedural default in federal habeas proceedings. <u>Coleman v. Thompson</u>, 501 U.S. 722, 757 (1991). However, the Court has recently qualified its position in <u>Coleman</u> to protect petitioners with potentially legitimate claims that would otherwise be barred, where the performance of counsel in "initial-review collateral proceedings" is inadequate. <u>Martinez</u>, 132 S.Ct. at 1309. "Inadequate assistance of counsel at initial review collateral

Maples v. Thomas, 132 S.Ct. 912, 922-23 (2012).

Martinez v. Ryan, 132 S.Ct. 1309 (2012).

proceedings may establish cause for a prisoner's default of a claim of ineffective assistance at trial." Id. at 1315. Similarly, where abandonment of a client by his attorney, or other "extraordinary circumstances" beyond the prisoner's control, have resulted in the default, that default may be excused as the abandonment severed the normal principal-agent relationship whereby the principal-agent is bound by the agent-attorney's decisions. Maples, 132 S.Ct. at 922-23. Thus, review of the performance of state habeas counsel is now clearly sanctioned in federal habeas proceedings to determine whether counsel's performance may have given rise to a default, by failing or preventing potentially legitimate claims from being raised in state court.

1

2

3

4

5

6

7

8

9

10

11

18

19

20

21

22

23

24

25

26

This office has filed Mr. Howard's briefing. There is the potential for oral 12 argument as well as, if deemed appropriate by unconflicted counsel, a request for 13 additional briefing because of these cases. Both will necessitate Mr. Howard's 14 assertion of Maples and Martinez relief as to each and every applicable claim and 15 issue throughout this briefing and the pendency of his habeas proceedings. See 16 Opening Brief at 4, 50. As such, the nature and quality of Ms. Erickson's 17 performance will be at issue.

This office is unable to continue to represent Mr. Howard as key supervising employees have vouched for her abilities and professionalism. Further, even the appearance that this office may not zealously investigate and present evidence of Ms. Erickson's ineffectiveness, due to the embarrassing nature of our office's involvement in the alleged previous vouching and other conduct suggests that withdrawal is necessary to effectively guarantee Mr. Howard's right to vigorous and unconflicted counsel.

III.

CONCLUSION

27 Any client is entitled to nothing less than an attorney's absolute, unimpaired 28 and undivided loyalty. His attorney is obligated to exercise professional judgment

solely for the benefit of his client, divorced from any competing influences, considerations or interests. Counsel respectfully submits that the interests of justice warrant the granting of this motion. The undersigned counsel regretfully requests that this Court permit the Office of the Federal Public Defender to withdraw from its representation of Mr. Howard in this matter. Further, it is respectfully requested that this Court approve the substitution of the Office of the Federal Defender Service for Idaho as Petitioner's attorney of record in the place and stead of the Office of the Federal Public Defender for the District of Nevada. Upon approval by this Court, that office will immediately submit and move for their appointment of counsel and submit a pro hac vice application.

1

2

3

4

5

6

7

8

9

10

16

17

18

19

20

21

22

23

24

25

26

27

28

It is necessary to ensure that the rights of Mr. Howard are protected in this
death penalty habeas corpus case and that nothing is waived in his litigation. It is
imperative that Mr. Howard be represented by conflict-free counsel throughout these
proceedings. Due the above-stated reasons, undersigned counsel and Petitioner
Howard respectfully ask that this Court grant the requested relief therein.

Respectfully submitted this 14th day of September, 2012.

LAW OFFICES OF THE FEDERAL PUBLIC DEFENDER

TEICHER

First Assistant Federal Public Defender Nevada State Bar No. 6143

KALETIL FOL MEDTAMAN

MEGAN C. HOFFMAN Assistant Federal Public Defender Nevada State Bar No. 9835 411 E. Bonneville Ave., Suite 250 Las Vegas, Nevada 89101 (702) 388-6577 Counsel for the Appellant