Commercial and Federal Litigation Section Newsletter

A publication of the Commercial and Federal Litigation Section of the New York State Bar Association

Message from the Chair

The Section is running on all cylinders. The carry-over accomplishments from the Lupkin Administration include NYSBA's formal approval of the Best Practices Guide for E-Discovery in New York State and Federal Courts, prepared by our own E-Discovery Committee, expertly co-chaired by Connie Boland and Adam Cohen (see separate story on p. 7.) That



David H. Tennant

Guide, conceived by Jonathan Lupkin on a bus while on vacation with his family, no doubt will have made a big splash in the legal community by the time the ink dries on this newsletter.

I am pleased to report progress on the "Chair's Initiatives" for 2011-2012.

People

Mentoring for Attorneys of Color

Our Committee on Diversity is working with our Mentoring Committee to target attorneys of color, including targeting alumni from our Minority Fellowship program and those who attend the annual (Sectionsponsored) Smooth Moves Program for attorneys of color. Our Fall 2011 Mentoring Program Kickoff Event (described on p. 5) benefited from that targeted outreach. More is to come.

Statewide Minority Moot Court Program

We have reached out to several law schools to gauge their interest in establishing a moot court program to attract undergraduate students of color to law school—and have been enthusiastically received. We are now working with the NYSBA membership services, the

Bar's Committee on Diversity and Inclusion, and the Black Law Students Association (Northeast Region), to devise a plan to establish this program at each law school in New York State.

Places

By the date of this publication, we will have held our first Executive Committee meeting upstate at the University of Buffalo Law School—open to all members of the bar—with New York Court of Appeals Judge Eugene Pigott as our guest speaker. The November 8 meeting will have been broadcast by videoconference to New York City and other locations around the state. The event is designed to attract new members to the State Bar and Section.

Our Committee on the Commercial Division and the Chair's Upstate Task Force are organizing an upstate "tri-city" (Syracuse, Rochester, and Buffalo) CLE program that will take place on March 7, 2012. The program

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will pair up the state Commercial Division Justice and a federal Magistrate Judge in each city—linked by video-conference—to discuss best practices in efficiently resolving commercial lawsuits. A reception will follow in each location.

Things

The "Faster, Cheaper, Smarter" Working Group is up and running under the leadership of Chair Mitchell Borger, Group Vice President/Associate General Counsel, Macy's Inc., and Vice-Chairs Hon. John Curran, New York Supreme Court, 8th Judicial District, and Jon Cooperman, Partner, Kelley Drye & Warren LLP (see article on p. 4 for details.)

Beyond these Chair initiatives, Greg Arenson is busy preparing an excellent CLE program on the "Faster Cheaper Smarter" theme for the Annual Meeting January 25, 2012 (see article on p. 3); and the Section's committees are busy with committee work

of every stripe, including organizing stand-alone CLE programs (for example, the highly regarded two-day Commercial Law Academy in March and the signature Smooth Moves program in April) and studying various proposals to improve the practice of law, including specific suggestions to amend Rule 45 of the Federal Rules of Civil Procedure and to amend the rules of the Appellate Division to eliminate a conflict with the CPLR (and resulting confusion) concerning the time for filing a motion for reconsideration and a motion for leave to appeal.

This is a great time to be part of the Section and all that it does to improve the legal system and law we employ.

If you are actively involved in the Section—thank you! If not, please consider making such active participation part of your New Year's resolution.

I hope to see you at the Annual Meeting.

David H. Tennant

There are millions of reasons to do Pro Bono.

(Here are some.)





Each year in communities across New York State, indigent people face literally millions of civil legal matters without assistance. Women seek protection from an abusive spouse. Children are denied public benefits. Families lose their homes. All without benefit of legal counsel. They need your help.

If every attorney volunteered at least 20 hours a year and made a financial contribution to a legal aid or pro bono program, we could make a difference. Please give your time and share your talent.

Call the New York State Bar Association today at **518-487-5640** or go to **www.nysba.org/probono** to learn about pro bono opportunities.

2012 Annual Meeting

The Section will conduct another first-rate educational program during the morning of January 25, 2012, at the Annual Meeting. The program of three panels will explore what all of us are interested in: faster, cheaper, and smarter litigation.

The first panel will discuss from the perspective of in-house counsel and both plaintiff and defendant practitioners how cooperation among litigants can yield better results and more satisfied clients. The discussion will be led by Richard G. Braman, Chairman of the Board of The Sedona Conference,® which in 2008 issued a Cooperation Proclamation, "a coordinated effort to promote cooperation by all parties to the discovery process to achieve the goal of a 'just, speedy, and inexpensive determination of every action." In the last year, The Sedona Conference® has followed up with "Cooperation Guidance for Litigators & In-House Counsel" and "Cooperation Proclamation: Resources for the Judiciary." In-house counsel on the panel will be Tom Hill, Senior Executive Counsel for Environmental Litigation and Legal Policy for the General Electric Company. Mr. Hill is responsible for environmental litigation against GE and its business segments.

The defense-oriented counsel on the panel will be Robert D. Owen of Sutherland, who has more than 35 years experience in New York commercial litigation. The plaintiff-oriented attorney on the panel will be Ariana J. Tadler of Milberg LLP. Among other activities, Ms. Tadler is on the Advisory Board of Georgetown University Law Center's Advanced E-Discovery Institute.

The second panel, also chaired by Mr. Braman, will delve into the ethical issues involved in collaboration in

discovery. Anthony E. Davis, adjunct professor at Columbia University, a member of Hinshaw & Culbertson LLP and sometime columnist for the *New York Law Journal* on ethical issues, will provide his expertise. Joining them will be United States District Judge Frederick J. Scullin of the Northern District of New York and Justice Carolyn E. Demarest of the New York State Supreme Court, Kings County Commercial Division, to provide the judiciary's perspective on the ethics of collaboration in discovery and the consequences if collaboration does not occur.

The third panel will present the latest thoughts about how electronic discovery can be tackled most cost effectively. It will be chaired by Adam I. Cohen and Constance M. Boland, co-authors of the Section's Best Practices in E-Discovery in New York State and Federal Courts, which was adopted by the New York State Bar Association in September 2011. Mr. Cohen is with Ernst & Young's Fraud Investigations and Dispute Services, and Ms. Boland is a partner at Nixon Peabody LLP. Also on the panel will be Ward Greenberg Heller and Reidy LLP's Jeffrey Harradine, who runs that firm's internal continuing legal education program on e-discovery. Justice Timothy S. Driscoll of the New York State Supreme Court, Nassau County Commercial Division, will present the viewpoint of the court that has produced what the Appellate Division, First Department, in Tener v. Cremer, 2011 WL 4389170, 2011 N.Y. Slip Op. 06543 (1st Dep't 2011), has recently called "the most sophisticated rules concerning discovery of ESI in the State of New York."

The morning promises to be lively and highly educational.

NYLitigator Invites Submissions

The *NYLitigator* welcomes submissions on topics of interest to members of the Section. An article in the *NYLitigator* is a great way to get your name out in the legal community and advertise your knowledge. Our authors are respected statewide for their legal expertise in such areas as ADR, settlements, depositions, discovery, and corporate liability. MCLE credit may also be earned for legal-based writing directed to an attorney audience upon application to the CLE Board.

If you have written an article and would like to have it considered for publication in the *NYLitigator*, please send it in electronic document format (pdfs are NOT acceptable), along with biographical information to its Editor:

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Authors' Guidelines are available under the "Article Submission" tab on the Section's Web site: www.nysba.org/NYLitigator.

www.nysba.org/NYLitigator

Is "Faster, Cheaper, Smarter" Also "Sexier"?

By David H. Tennant

Perhaps. The Faster/Cheaper/Smarter Working Group is tasked with finding more efficient ways to resolve business disputes—limited only by the imagination of the group's members. The mission might be described as being circumscribed only by what "two mature consenting corporations choose to do in the privacy of their boardrooms." This working group is populated by free-thinkers with practical wisdom borne of experience, drawn from in-house counsel, outside counsel, and the bench (state and federal). Thank you for your service!

Working Group Roster

- Mitchell F. Borger, Chair—Group Vice President/ Associate General Counsel, Macy's Inc.
- Hon. John M. Curran, Vice-Chair—New York Supreme Court, 8th Judicial District
- Jonathan K. Cooperman, Vice-Chair—Partner, Kelley Drye & Warren LLP
- David H. Tennant, Ex Officio—Chair, Commercial and Federal Litigation Section

In-house Counsel

- Karen L. Douglas—Division Counsel-Litigation Manager, Corning Incorporated
- Jamie E. Stern—Managing Director, UBS
- Carla M. Miller—Vice President, Litigation Counsel, Universal Music Group
- Vivien Naim—Practice Director and Counsel, H5

Outside Counsel

- Gregory K. Arenson—Partner, Kaplan Fox & Kilsheimer LLP
- James M. Bergin—Partner, Morrison & Foerster LLP
- Paul D. Sarkozi—Partner, Tannenbaum Helpern Syracuse & Hirschtritt LLP
- Heath J. Szymczak—Partner, Jaeckle Fleischmann & Mugel LLP
- Harry P. Trueheart—Partner, Nixon Peabody LLP

Judiciary

- Hon. Shirley Kornreich—Justice, Supreme Court, New York County
- Hon. Richard J. Sullivan—United States District Judge, Southern District of New York
- Hon. Marian W. Payson—United States Magistrate Judge, Western District of New York
- Hon. Andrew J. Peck—United States Magistrate Judge, Southern District of New York

The universe of truncated procedures may be broken down into court (or court-annexed) programs, on the one hand, and private agreements, on the other. Some may be spelled out in advance by the parties; others may be opted into at the beginning a lawsuit.

The F/C/S WG will consider contractual provisions to truncate dispute resolution (private and judicial) as well as non-contract-based truncations that courts can employ to create new levels of efficiency. The trick is to identify practical ways to reduce the life-span of a dispute, to quickly liquidate the claim and related exposure, and to move on. While the same methods may not work for a \$10,000 claim and \$10,000,000 claim, the desire of companies for super-efficient dispute resolution is present.

The three constituent branches—clients, outside counsel, and judges—may have different views on what degrees or forms of truncation are warranted, efficient, or wise. The self-interest of lawyers, who are worried about truncated procedures cutting off legal fees, may create tension with clients. But the prospect of "business as usual," with burgeoning e-discovery obligations and crowded dockets in state and federal courts in New York, and the real or perceived delays in obtaining efficient resolution in New York courts (and also through traditional ADR), are pushing business cases away from New York, whether to courts in Delaware or London.

The convulsions in the economy and legal profession continue. Faster, cheaper, smarter may be the only way for the legal profession to survive (and even thrive).

We look forward to receiving a preliminary report of the F/C/S WG by the Annual Meeting (January 25, 2012).

Great Kickoff to Mentoring's Second Season

By Matthew R. Maron

Capitalizing on its highly-successful inaugural year, the Commercial and Federal Litigation Section's Mentoring Committee hosted its Fall Mentoring Kickoff Event at the New York City offices of Nixon Peabody LLP on September 21, 2011. The event allowed "veterans" of the mentoring program to reconnect with each other while also allowing for new mentors and mentees to meet in person for the first time.



New mentee Jessica Bartlett, new mentor Emily Stern, Chief Administrative Judge Ann Pfau, and Section Chair David H. Tennant



Chief Administrative Judge Ann Pfau

The attendees were addressed by Hon. Ann Pfau, Chief Administrative Judge of the State of New York,



New mentee Brian King and Section Treasurer Paul D. Sarkozi



New mentees Antar Jones and Matthew Heerde

who emphasized the importance of mentoring to young lawyers and described how mentors had been instrumental in her own career.

Section Chair David
H. Tennant noted that
"anyone who has achieved
any level of success in
the practice of law has
benefited from numerous mentors" and that
effective mentoring is
"essential to the future
development of young



Former Section Chair and current Mentoring Committee Co-Chair Jonathan D. Lupkin

lawyers and to the legal profession." Tennant identified immediate past section chair Jonathan D. Lupkin as the "undisputed father of the Section's mentoring initiative." But when pressed, Lupkin admitted only to fathering four daughters.

In addition to the matching of mentors and mentees, the mentoring program gives participants the opportunity to work together on Section programs, reports, and events, which have served to enhance their careers and the profession as a whole. Another component of the program has been the highly successful Commercial Litigation Academy, a two-day CLE immersion that exposed participating attorneys to the many facets of litigating a commercial case in the New York state and federal courts.

"I think the program will provide me with a great opportunity to broaden my knowledge base and gain insight about the benefits and challenges of the legal profession from a well-respected and experienced member of the bar," said Rayna Feldman, an associate at Debevoise & Plimpton LLP and a new mentee in the program. "I look forward to receiving advice from my mentor and developing a friendly and supportive mentoring relationship that will hopefully endure throughout my career," Feldman added.



New mentee Regine Severe, Section Minority Fellowship Recipient Danielle D. May, and new mentee Brian King



New mentee Vera Zolotaryova, current mentee and former Co-Chair of the Committee on State Court Counsel Janel Alania, and Mentoring Committee Co-Chair Matthew R. Maron

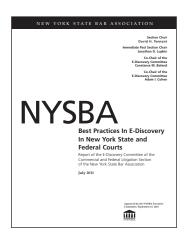
The Mentoring Committee will be hosting a series of events in the coming year as part of its continuing efforts to give program participants greater fulfillment in the practice of law.

Matthew R. Maron is associated with the firm of Tannenbaum Helpern Syracuse & Hirschtritt LLP in the firm's Litigation and Dispute Resolution Practice Group.



Section Chair-Elect Tracee E. Davis, former Section Chair and current Mentoring Committee Co-Chair Jonathan D. Lupkin, Mentoring Committee Co-Chair Matthew R. Maron, Mentoring Committee Co-Chair Dana V. Syracuse, Section Chair David H. Tennant, and Section Treasurer Paul D. Sarkozi

Practitioner's Guide to E-Discovery Now Available



The Executive Committee on September 27, 2011, approved the report of the CFLS E-Discovery Committee Best Practices in E-Discovery in New York State and Federal Courts (Best Practices Guide). The Best Practices Guide constitutes a practical guide to e-discovery in New York. It provides an unprecedented side-by-side comparison of e-discovery obligations that

practitioners face in state and federal court and captures best practices for counsel and parties to follow in meeting their e-discovery obligations. E-discovery remains an area rife with risk for the practitioner and cost for the client. This timely, practical guide provides a valuable resource, not just for attorneys and their clients, but also for judges. This is true whether the reader is relatively inexperienced in e-discovery matters or well versed.

A complete copy of the *Best Practices Guide* is available on the CFLS website, without charge, at www.nysba.org/CFLSeDiscoveryGuide.

The *Best Practices Guide* is the result of many months of work by members of the E-Discovery Committee, co-chaired by Adam Cohen and Connie Boland. The process of putting together the report involved extensive and iterative input from New York practitioners, judges, and technical and industry experts. This input is readily apparent from the content of the *Best Practices Guide*, which is detailed and focuses on the areas of greatest risk and concern to members of the bar.

In a field where the sands of law and technology are shifting, the *Best Practices Guide* aims to provide consensus-based guidelines rather than trying to identify what may pass muster as sufficiently reasonable to avoid sanctions in any particular case. Moreover, the *Best Practices Guide* carefully differentiates between state and federal practice in New York courts. The *Best Practices Guide* identifies areas where federal and New York state law may diverge, but also areas where New York state law may not have addressed issues discussed in federal court opinions and vice versa.

The E-Discovery Committee is planning a series of CLE events on the *Best Practices Guide*, as well as regular updates as warranted.

Best Practices Guide

Each of the guidelines is accompanied by extensive commentary. Central among them are:

Containing cost of e-discovery: The volume of ESI involved in preservation and discovery substantially increases the costs of litigation. Even before litigation commences, clients should be advised to implement proactive programs, such as document retention policies, hold and collection procedures, adjustments to IT practices, user education, and other measures to help control costs of e-discovery.

Sanctions for spoliation: Establishing a sound litigation hold process is the best way to avoid a spoliation disaster. It may also be important in showing good faith if spoliation does occur. Exposing the inadequacies in an adversary's process is an effective way to show the court that the spoliator had no regard for ESI preservation.

Pre-litigation duty to preserve ESI: Take a conservative approach. If there is doubt as to whether the duty to preserve has been triggered, assume that the duty might exist.

What ESI should be preserved: It is often best to be conservative and preserve broadly. You can always argue about the appropriate boundaries of discovery later, but if you fail to preserve ESI and the court decides you should produce it, you will have a serious problem.

Legal hold notices: Counsel should issue a written "legal hold" instructing applicable custodians about the duty to preserve and how it relates to information. The goal here is to effectively prohibit and monitor preservation efforts.

Be familiar with your client's information technology: As soon as litigation is anticipated, counsel should familiarize themselves with their client's information technology, sources of ESI, and other related matters.

Form of production of ESI: Failing to identify the form of production could have disastrous results. Counsel may require, for instance, that ESI produced by their adversary should be searchable in full or with respect to certain categories of information. The ESI produced by the adversary should be compatible with the requesting party's computer system or platform. It is important to ensure that the form of production demanded does not require your client to transform native ESI in a way that is unreasonably expensive.

Producing ESI: Producing ESI should be conducted in a series of steps, as follows: (1) initial review; (2) search for and collection of ESI; (3) processing of ESI to eliminate duplicates and render it searchable; (4) culling the ESI to reduce volume; (5) review by counsel; and (6) production.

The Best Practices Guide is the result of many months of work by members of the Commercial and Federal Litigation's E-Discovery Committee. The process of preparing the publication involved extensive and iterative input from New York practitioners, judges, and technical and industry experts. The Section is planning a series of CLE events on the Best Practices Guide, as well as regular updates as warranted.

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Report of Resolutions Committee

The New York State Bar Association's Resolutions Committee is tasked with recommending steps to implement various resolutions adopted by NYSBA. The Resolutions Committee recently issued a draft plan for implementing the recommendations contained in the International Report prepared by the Task Force on New York Law in International Matters at the direction of immediate past President Stephen P. Younger (http://www.nysba.org/AM/Template. cfm?Section=Task_Force_on_New_York_Law_in_Interna $tional_Matters_Home\&Template=/CM/ContentDisplay.$ cfm&ContentFileID=53613). The draft plan, which was expected to be presented to the Executive Committee during the November 4-5 House of Delegates Meeting, ascribes a "leadership role" to the Commercial and Federal Litigation Section. CFLS anticipates submitting comments on the draft plan and supporting this initiative, which seeks to make the law of New York the applicable law—and New York State the choice of venue—for international arbitration.

MOVING? let us know.

Notify OCA and NYSBA of any changes to your address or other record information as soon as possible!

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CPLR Amendments: 2011 Legislative Session

(2011 N.Y. Laws ch. 1-596)

CPLR §	Chapter, Part (Subpart, §)	Change	Eff. Date
306-b	473(1)	Changes "filing of the summons and complaint, summons with notice, third-party summons and complaint, or petition" to "commencement of the action or proceeding"	1/1/12
306-с	59, H(52-h)	Adds a new CPLR 306-c requiring that notice be given to Dept. of Health or county social services of commencement of personal injury action by person who has received medical assistance under Soc. Serv. Law Art. 5, Titles 11 and 11-D	6/29/11
909	566	Provides that attorneys' fees may be awarded to any person, in addition to representatives of the class, who acted to benefit the class	9/23/11
1008	264	Provides that third-party defendant may not assert in answer defenses of improper service of summons and complaint, summons with notice, or notice of petition and petition or lack of personal jurisdiction over third-party plaintiff	8/3/11
1101(d), (f)	57, A(17)	Extends sunset of CPLR 1101(f) and proviso in CPLR 1101(d) until 9/1/2013	3/31/11
1101(f)(1)(i), (3)	62, C (B, 51)	Changes "correctional services" to "corrections and community supervision"	3/31/11
2101(f)	473(2)	Extends time to object from two days to 15 days	1/1/12
2302(b)	307(1)	Requires that, in absence of patient authorization, only court may issue trial subpoena duces tecum for patient's medical records	8/3/11
3025(b)	473(3)	Adds requirement that motion be accompanied by proposed amended or supplemental pleading clearly showing the changes or additions to be made to the pleading	1/1/12
3122	307(2)	Adds court-issued subpoenas or orders as an alternative to meeting the requirement for patient authorization for production of medical records	8/3/11
3217(a)(1)	473(4)	Adds that the 20-day deadline applies if no responsive pleading is served and strikes whichever deadline is earlier	1/1/12
3409	59, H(52-d)	Adds a new CPLR 3409 requiring settlement conferences in dental, podiatric, and medical malpractice actions	6/29/11
5011	62, C(B, 52)	Changes "correctional services" to "corrections and community supervision"	3/31/11
5205(a)(8)	1	Excludes exemption where state or municipality is judgment creditor	1/21/11
5224(a)(3)(i)	342(1)	Adds to the certification compliance with Gen. Bus. Law § 601	9/2/11

Notes: (1) 2011 N.Y. Laws ch. 284, eff. 9/2/11, replaces Uniform City Court Act § 206 with a new provision on arbitration. (2) 2011 N.Y. Laws ch. 502, eff. 6/23/12, authorizes secretary of state to accept mail and service of process on behalf of victims of domestic violence in order to maintain the confidentiality of their location. (3) 2011 N.Y. Laws ch. 543, eff. 9/23/11, expands e-filing and fax filing pilot programs.

2011 Amendments to the Uniform Rules for Supreme and County Courts, Rules Governing Appeals, and Certain Other Rules of Interest to Civil Litigators

(West's N.Y. Orders 1-24 of 2011)

22 NYCRR §	Court	Subject (Change)
151.1	All	Adds rules governing assignment of cases involving contributors to judicial campaigns
202.5-b	Sup.	Amends requirements for consensual e-filing and e-service
202.5-bb	Sup.	Amends requirements for mandatory e-filing
202.6	Sup.	Promulgates new RJI (Form 840) with Commercial Division (Form 840C), Foreclosure (Form 840F), and Matrimonial (Form 840M) addenda
202.6(b)	Sup.	Adds to exemptions from RJI filing fee petitions for finance of religious/not-for-profit property and Mental Hygiene Law Art. 10 proceedings
202.12-a(f)	Sup.	Corrects cross-reference
202.16(f)(2)(v), (vi)	Sup.	Adds to the matters to be considered at preliminary conference in matrimonial actions the completion of a preliminary conference order substantially in the form in Appendix G
202.56(c)	Sup.	Adds provision on settlement conferences
202.58(h)(2)	Sup.	Authorizes Chief Administrator to authorize compensation for JHO's other than as provided in 22 NYCRR § 122.8
202.70(d)	Sup.	Amends the contents of requests for Commercial Division assignment, including a signed Commercial Division RJI Addendum certifying that the case meets the Commercial Division jurisdictional requirements

Note that the court rules published on the Office of Court Administration's website include up-to-date amendments to those rules: http://www.nycourts.gov/rules/trialcourts/index.shtml.

COMMERCIAL AND FEDERAL LITIGATION SECTION
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Notes of the Section's Executive Committee Meetings

June 14, 2011

The Executive Committee approved a report of the Special Committee on Discovery and Case Management in Federal Litigation on "Preservation and Spoliation" and a report by the Class Action Committee on "Class Action Waivers in Arbitration Agreements." The Executive Committee also discussed a report on E-Discovery Best Practices and a report on the role of New York commercial law in international disputes.



Guest speaker, the Hon. Ramon E. Reyes, Jr., U.S. Magistrate Judge for the Eastern District of New York, discussed the role of a magistrate judge and his own individual practices.

To register, go



The Executive Committee approved the E-Discovery Best Practices report. The Executive Committee also discussed the status of the report on "Preservation and Spoliation," the status of the report on "Expert Disclosure in the Commercial Division," and Chair initiatives for 2011-2012.

September 13, 2011

Guest speaker, the Hon. Jeffrey
Oing, Justice of the Supreme Court,
New York County, Commercial Division,
discussed his practice and approach to conference calls,
oral arguments, temporary restraining orders, motions to
dismiss, and preliminary conferences.

The Executive Committee discussed the Minority Fellowship program, an update on the *Best Practices in E-Discovery in New York State and Federal Courts*, and the Section's moot court initiative.



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The Commercial and Federal Litigation Section Newsletter and the NYLitigator are also available online

Go to www.nysba.org/ComFed to access:

- Past Issues of the Commercial and Federal Litigation Section Newsletter (2001-present) and the NYLitigator (2000-present)*
- Commercial and Federal Litigation Section Newsletter (2001-present) and NYLitigator (2000-present)
 Searchable Indexes
- Searchable articles from the Commercial and Federal Litigation Section Newsletter and the NYLitigator that include links to cites and statutes. This service is provided by Loislaw and is an exclusive Section member benefit*

*You must be a Commercial and Federal Litigation Section member and logged in to access. Need password assistance? Visit our Web site at www.nysba.org/pwhelp.

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For more information on these and many other resources go to www.nysba.org



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Commercial Division Law Report

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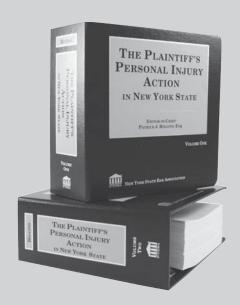
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