

TABLE OF CONTENTS

CHAPTER 1

Introduction

§ 1.01	The Grand Jury Institution	1-1
§ 1.02	The Grand Jury Debate	1-4

CHAPTER 2

History of the Grand Jury

§ 2.01	Introduction	2-1
§ 2.02	The Grand Jury in England	2-3
§ 2.03	The Grand Jury in the United States	2-8
§ 2.04	The “Demise” of the Grand Jury	2-11

CHAPTER 3

Current Use of the Grand Jury

§ 3.01	Introduction	3-2
§ 3.02	Composition of the Grand Jury	3-5
	[1] Impanelling the Grand Jury	3-5
	[2] Challenging Grand Jurors	3-10
	[a] Constitutional Challenges	3-12
	[i] Racial Composition of Grand Jury	3-12
	[ii] Exclusion of Women from Grand Juries	3-19
	[iii] Timing of Constitutional Challenge	3-20
	[b] Statutory Challenges: Jury Selection and Service Act of 1968 (28 U.S.C. §§ 1861-1867)	3-21

GRAND JURY PRACTICE

	[c] Challenges Based Upon Pre-Indictment Publicity	3-24
	[3] The Grand Jury Foreman	3-25
	[4] Discharging the Grand Jury	3-27
	[5] Testimony of Grand Jury Witnesses	3-29
§ 3.03	The Special Grand Jury	3-30
§ 3.04	Federal Grand Jury Practice	3-32
	[1] Jurisdiction of the Grand Jury and the Power to Subpoena	3-34
	[a] 18 U.S.C. § 3144: Detention of Material Witnesses	3-42
	[2] Rule 6(e): Grand Jury Secrecy	3-42
	[a] Generally	3-42
	[b] Exceptions to the Secrecy Requirement	3-60
§ 3.05	The Indictment	3-86
	[1] Voting on the Indictment	3-93
	[2] Sealing the Indictment	3-96
	[3] Challenging the Indictment	3-99
	[4] Charging Capital Offense Sufficiently	3-108
§ 3.06	Presentments	3-110

CHAPTER 4**The Prosecutor's Burden**

§ 4.01	The Standard of Proof	4-1
§ 4.02	The Prosecutor's Control Over the Process	4-3
	[1] Convening the Grand Jury	4-3
	[2] Prosecutorial Control Over the Grand Jury	4-3
	[3] Freedom from Judicial Review	4-13
	[4] Duty to Warn Witnesses; Rights of Witnesses to Appear or Present Evidence	4-18
	[5] Opening Statements, Summaries, Instructing the Grand Jury	4-25
	[6] "Taking a Second Bite of the Apple"	4-28
§ 4.03	Evidence at the Prosecutor's Disposal	4-28.2
	[1] Hearsay	4-32
	[2] Perjury	4-38
	[3] Exculpatory Evidence	4-42
	[4] Illegally Seized Evidence	4-46
	[5] Privileges	4-51
	[6] Evidence About Past Criminal Records	4-52
	[7] Prosecutor as Grand Jury Witness	4-53
§ 4.04	Conclusion	4-55

CHAPTER 5

Responding to Subpoenas:
Procedural Overview

§ 5.01	Introduction	5-2
§ 5.02	Grand Jury Process	5-5
	[1] The U.S. Attorney’s Office’s Role in Issuing Process	5-7
	[2] Service of Process	5-10
	[3] Foreign Witnesses and Documents Located Abroad	5-13
	[4] Witness Fees	5-16
	[5] Forthwith Subpoenas	5-16
§ 5.03	Subpoenas Issued to Targets	5-19
§ 5.04	Objections and Motions to Quash	5-23
	[1] Reasonableness and General Challenges to Subpoenas <i>Duces Tecum</i>	5-25
	[a] Relevance	5-26
	[b] Particularity	5-31
	[c] Undue Burden	5-33
	[d] State Law	5-34
	[2] Testimonial Privileges	5-35
	[a] Attorney-Client Privilege	5-35
	[i] Crime Fraud Exception	5-39
	[ii] Waiver of Privilege	5-44
	[iii] Privilege Protection over Fee Arrangements and Client Identity	5-47
	[b] Attorney Work Product	5-48
	[i] Crime Fraud Exception	5-49
	[ii] Fact versus Opinion Work Product	5-51
	[c] Common Law Privileges	5-54
	[d] Speech or Debate Clause	5-58
	[e] Statutory Privileges	5-60
	[3] Privilege Review	5-60
	[4] Subpoenas Issued to Attorneys	5-62
	[5] Subpoenas Issued to State and Local Governments	5-69
	[6] Line-Ups, Voice Samples, Physical Evidence, and Electronic Data	5-74
	[7] Appellate Review	5-79
§ 5.05	Responding to a Subpoena <i>Duces Tecum</i>	5-83
	[1] Producing Documents and Other Tangible Things	5-83
	[2] Access of Third Parties to Grand Jury Documents	5-86

GRAND JURY PRACTICE

CHAPTER 6

The Fifth Amendment

§ 6.01	Introduction	6-2
§ 6.02	Incriminating Testimony	6-4
	[1] Personal Nature of Privilege	6-4
	[2] When the Privilege May Be Invoked	6-4
	[a] Links in the Chain	6-5
	[b] Use and Derivative Use	6-6
	[c] The Reasonableness of a Claim is Tested by the Court	6-7
	[3] Dangers Protected by the Privilege	6-9
	[a] Penalty or Forfeiture	6-10
	[b] Fear of Foreign Prosecution	6-10
	[4] Effect of Pardon, Prior Conviction, Guilty Plea, or Running of Statute of Limitations	6-13
	[5] Waiver/Voluntary Self-Incrimination	6-15
	[a] Existence and Scope of Waiver	6-15
	[b] Use of Voluntary Testimony in Other Proceedings	6-16
	[6] Testimony Under Threat of State Imposed Disabilities	6-18
	[7] Use of Compelled Testimony in Other Proceedings	6-20
§ 6.03	Incriminating Non-Verbal Acts (Exemplars, Line-Ups, and Directives)	6-21
§ 6.04	Incriminating Documents	6-24
	[1] Privilege as to Contents of Documents	6-24
	[2] Required Records	6-27
	[3] Documents Prepared or Held by Third Parties	6-30
	[4] Records of Corporations, Partnerships, and Other Entities	6-31
	[a] The Collective Entity Doctrine	6-31
	[b] Sole Proprietorships	6-34
	[c] What Records are Corporate Records?	6-35
§ 6.05	Act of Production Privilege	6-36.1
	[1] Act of Production Immunity	6-41
	[2] Custodians of Corporate Records	6-46

CHAPTER 7**First Amendment**

§ 7.01	Introduction	7-1
§ 7.02	Confidential Sources	7-3
§ 7.03	Associational Privacy	7-16
§ 7.04	Freedom of Religion	7-21
§ 7.05	Publications	7-24

CHAPTER 8**Electronic Surveillance**

§ 8.01	Introduction	8-1
§ 8.02	The Basic Statutory Framework	8-4
§ 8.03	The Basic Judicial Framework: <i>Gelbard v. United States</i>	8-8
§ 8.04	Raising a Claim of Illegal Surveillance	8-10
	[1] Standing	8-10
	[2] Timing	8-11
	[a] Motions to Suppress	8-11
	[b] Motions to Quash	8-12
	[c] Waiver	8-13
	[3] Asserting a Claim Under § 3504	8-14
§ 8.05	Government Responses	8-17
	[1] Required Search	8-17
	[2] Denial of Illegal Surveillance	8-18
	[3] Government Production of Court Order	8-19
§ 8.06	Consequences of Illegal Electronic Surveillance	8-21

CHAPTER 9**Parallel Proceedings**

§ 9.01	Overview	9-2
§ 9.02	Civil and Criminal Discovery	9-4
	[1] Civil Discovery	9-4
	[2] Criminal Discovery	9-4
§ 9.02A	Potential Government Abuse	9-5
§ 9.03	Fifth Amendment Privilege Against Self Incrimination	9-9
	[1] Impact of invoking the Privilege	9-9
	[a] Adverse Inference	9-10
	[b] Effect on Parallel Civil Action	9-11
	[2] General Rule	9-11

GRAND JURY PRACTICE

§ 9.04	Disclosure of Grand Jury Matters for Use in Civil Proceeding	9-12
§ 9.05	Remedies	9-13
	[1] Stay of Civil Proceedings	9-13
	[a] Authority for a Stay	9-13
	[b] Burden of Proof	9-13
	[c] Factors Examined in the Decision to Grant a Stay	9-14
	[d] Requests for a Stay from Defendant	9-15
	[e] Request for a Stay from the Government	9-15
	[2] Protective Orders	9-16
§ 9.06	Impact of the Double Jeopardy Clause	9-21
§ 9.07	Preclusive Consequences of Parallel Proceedings	9-22
§ 9.08	Settlement of Parallel Proceedings	9-23

CHAPTER 10**Immunity**

§ 10.01	The Meaning of Immunity: Overview	10-3
	[1] Types of Immunity and Procedures	10-3
	[2] Transactional vs. Use Immunity	10-4
§ 10.02	Historical Development of Immunity	10-7
§ 10.03	Obtaining a Grant of Immunity	10-13
	[1] Preliminary Considerations in Deciding Whether to Seek Immunity and in Obtaining Immunity	10-13
	[a] Value of Immunity to the Target/Subject	10-13
	[b] Value of Immunity to the Prosecutor	10-13
	[c] Other Steps the Government Will Take to Get Testimony Before Granting Immunity	10-13
	[d] Whom the Government Will Immunize	10-16
	[e] Immunity Negotiations	10-16
	[2] “Queen for a Day” Immunity for Proffer/Pre-Testimony Interview	10-17
	[3] Formal Immunity: Conferred by Formal Statutory Compulsion Order	10-21
	[a] Federal Statute	10-21
	[b] Authority to Confer Immunity Is Within Discretion of Prosecutor	10-22

TABLE OF CONTENTS

	[c] Procedures for Grant of Formal Statutory Immunity	10-26
	[i] Application for an Immunity Order	10-26
	[ii] Implementation of Order	10-28
§ 10.04	Informal (“Hip Pocket” or “Pocket”) Immunity	10-29
	[1] Overview	10-29
	[2] Procedures for Grant of Informal Immunity	10-30
	[3] Enforced as Contract	10-31
	[4] Express and Implied Informal Agreements	10-32
	[5] Oral and Written Informal Agreements	10-33
	[6] Breach of the Agreement	10-34
§ 10.05	Formal Immunity vs. Informal Immunity: Practical Considerations, Pros and Cons	10-37
	[1] Prosecutorial Preference for Formal Immunity over Letter Immunity	10-37
	[2] Pros and Cons of Informal Immunity	10-37
	[a] Advantages	10-37
	[b] Disadvantages	10-38
	[3] Pros and Cons of Formal Immunity	10-41
	[a] Advantages	10-41
	[b] Disadvantages	10-42
§ 10.06	Interviews with Prosecutors After a Grant of Immunity but Before Testimony	10-43
§ 10.07	Scope of Use—Fruits Immunity (Formal or Informal)	10-45
	[1] Overview	10-45
	[2] Evidence Subject to Immunity	10-46
	[3] <i>Kastigar v. United States</i> and the Use of Immunized Testimony in Criminal Cases	10-48
	[a] The <i>Kastigar</i> Decision	10-48
	[b] The Procedure Under <i>Kastigar</i> for Enforcing Immunity	10-50
	[c] The Holding of a <i>Kastigar</i> Hearing	10-51
	[d] The Timing of a <i>Kastigar</i> Hearing	10-53
	[e] When a <i>Kastigar</i> Hearing Is Not Required	10-54
	[f] The Standard of Proof Imposed on the Government	10-57
	[g] Remedy for a <i>Kastigar</i> Violation	10-60
§ 10.08	Using Immunized Testimony for Purposes Other than Prosecution of the Immunized Witness for the Crime that Is the Subject of the Testimony	10-62

GRAND JURY PRACTICE

	[1] Perjury Prosecutions	10-62
	[2] Obstruction of Justice	10-64
	[3] Impeachment of the Immunized Witness at Trial	10-64
§ 10.09	Use of Immunized Testimony in Civil Cases and Other Noncriminal Proceedings	10-66

CHAPTER 11

**Sanctions for Refusal to Testify
After a Grant of Immunity:
Contempt**

§ 11.01	Overview	11-2
§ 11.02	Contempt Statutes	11-4
	[1] Statutes that Affect Both Civil and Criminal Contempt	11-4
	[2] Civil Contempt Statutes	11-5
	[3] Criminal Contempt Statutes	11-6
§ 11.03	Purposes of Contempt	11-9
	[1] Purpose of Civil Contempt	11-9
	[2] Purpose of Criminal Contempt	11-13
§ 11.04	Who Can Be Held In Contempt	11-15
§ 11.05	Defenses to Contempt Charges	11-17
	[1] Illegal Surveillance	11-17
	[2] Moral Beliefs	11-17
	[3] Press Considerations	11-18
	[4] Fear of Reprisal	11-18
	[5] Failed Memory	11-20
	[6] Least Possible Power Doctrine	11-21
	[7] Lack of Intent	11-21
	[8] Medical Inability	11-23
	[9] Humane Considerations	11-23
	[10] Invalidity of a Court Order	11-24
	[11] Agreement with Government	11-27
§ 11.06	Sentencing for Contempt	11-29

CHAPTER 12**Joint Representation**

§ 12.01	Introduction	12-1
§ 12.02	Advantages of Joint Representation	12-4
	[1] General Considerations	12-4
	[2] Stonewalling	12-5
§ 12.03	Disadvantages of Joint Representation	12-9

TABLE OF CONTENTS

xvii

§ 12.04	Joint Representation and Professional Ethics	12-13
	[1] Basic Ethical Framework	12-13
	[2] Payment of Legal Fees by a Third Party . . .	12-15
	[3] Application	12-18
	[a] Initial Decision	12-18
	[b] Material Developments During the Course of Representation	12-21
§ 12.05	Government Disqualification Motions	12-24
	[1] Conflicts of Interest and Criminal Defendants	12-25
	[2] Conflicts of Interest and Grand Jury Witnesses	12-27
	[a] Waiver of Conflict	12-27
	[b] Disqualification Notwithstanding Waiver	12-29
	[3] Appellate Review	12-34

CHAPTER 13

Monitoring the Investigation

§ 13.01	Introduction	13-1
§ 13.02	Debriefing Witnesses	13-3
	[1] Objectives	13-7
	[2] Techniques	13-10
§ 13.03	Joint Defense Agreements	13-12
	[1] Legal Background	13-14
	[2] Undertaking a Joint Defense	13-20
	[3] Joint Defense Agreements and Cooperating Witnesses	13-23
§ 13.04	Discovery of Grand Jury Materials	13-26
	[1] Court-Ordered Disclosure (Rule 6(e)(3)(C))	13-26
	[2] Disclosure of Witness Statements	13-30
	[3] Discovery of Defendant's Own Statements	13-34
	[4] Discovery of Grand Jury Transcripts by Media Outlets	13-37
§ 13.05	Discovery of Public or Ministerial Records	13-39

CHAPTER 14

Prosecutorial Misconduct and Remedies

§ 14.01	Introduction	14-2
§ 14.02	Statutory Based Misconduct	14-4

GRAND JURY PRACTICE

	[1]	Rule 6	14-4
		[a] Rule 6(e)	14-4
		[i] Types of Violations	14-4
		[ii] Exceptions to the Secrecy Requirement	14-5
		[b] Rule 6(d)	14-6
		[c] Other Misconduct Under Rule 6	14-9
	[2]	Other Statutory Misconduct	14-10
		[a] In General	14-10
		[b] Perjury or False Declarations Before Grand Jury	14-11
§ 14.03		Non-Statutory Based Misconduct	14-16
§ 14.04		Remedies for Misconduct	14-21
	[1]	Dismissal	14-21
		[a] Post-Conviction Dismissal of an Indictment: <i>United States v. Mechanik</i>	14-22
		[b] All Grand Jury Error Subject to Harmless Error Analysis: <i>Bank of Nova Scotia v. United States</i>	14-25
		[c] <i>United States v. Williams</i> : The “Death Knell” of Federal Courts’ Dismissal Power?	14-28
		[d] Does the Power to Dismiss Survive?	14-29
	[2]	Other Remedies	14-34
		[a] Contempt, Disciplinary Proceedings, and Published Criticism	14-34
		[b] Quashing Subpoenas	14-38
		[c] Equitable Relief	14-38
		[d] Monetary Damage Actions	14-44
		TABLE OF CASES	TC-1
		INDEX	I-1