

Contents

Chapter 1: Subject-Matter Jurisdiction	1
1-1 INTRODUCTION.....	1
1-2 CASE OR CONTROVERSY.....	3
1-2:1 Standing.....	5
1-2:2 Mootness.....	7
1-2:2.1 Capable of Repetition, Yet Evading Review.....	7
1-2:2.2 Other Exceptions.....	9
1-2:3 Ripeness.....	9
1-3 FEDERAL QUESTION.....	11
1-3:1 Pleading Requirements.....	12
1-3:2 Exclusive vs. Concurrent Jurisdiction.....	13
1-3:3 Amount in Controversy.....	14
1-4 DIVERSITY AND ALIENAGE.....	14
1-4:1 Amount in Controversy.....	15
1-4:1.1 Pleading the Amount in Controversy and the Legal Certainty Test.....	15
1-4:1.2 Determining the Amount in Controversy.....	18
1-4:2 Citizenship of the Parties.....	20
1-4:2.1 Complete Diversity.....	20
1-4:2.2 Citizenship of Individuals.....	21
1-4:2.3 Citizenship of Corporations.....	23
1-4:2.4 Citizenship of Unincorporated Associations/ Partnerships/Trusts.....	25
1-4:2.5 Citizenship of Insurance Companies in Direct Actions.....	26
1-4:2.6 Applying Citizenship Rules to Parties.....	26
1-4:2.7 Realignment.....	27
1-5 SUPPLEMENTAL JURISDICTION.....	27
1-5:1 Pendent and Ancillary Jurisdiction.....	27
1-5:2 Requirements for Supplemental Jurisdiction.....	29
1-5:3 Diversity Cases and Pendent Party Jurisdiction: Subsection 1367(b).....	29
1-5:4 Discretion to Decline Supplemental Jurisdiction: Subsection 1367(c).....	31

Table of Contents

- 1-5:4.1 Novel or Complex Issues of State Law:
Subsection 1367(c)(1)..... 31
- 1-5:4.2 State Claim Substantially Predominates:
Subsection 1367(c)(2)..... 32
- 1-5:4.3 All Claims of Original Jurisdiction Dismissed by
District Court: Subsection 1367(c)(3)..... 32
- 1-5:4.4 Exceptional Circumstances and Compelling
Reasons: Subsection 1367(c)(4)..... 33
- 1-5:5 Tolling of State Law Claims: Subsection 1367(d)..... 34
- 1-5:6 Special Consideration: New Jersey’s Entire
Controversy Doctrine 34
- 1-6 ABSTENTION 35
 - 1-6:1 *Pullman* Abstention 35
 - 1-6:2 *Burford* Abstention 36
 - 1-6:3 *Younger* Abstention 37
 - 1-6:4 *Colorado River* Abstention..... 39
- Chapter 2: Service of Summons and Personal Jurisdiction..... 41**
- 2-1 INTRODUCTION..... 41
- 2-2 SERVICE OF SUMMONS..... 41
 - 2-2:1 Issuance of the Summons by the Clerk 42
 - 2-2:1.1 Electronic Summonses 42
 - 2-2:1.2 Hard Copy Summonses 43
 - 2-2:1.3 Amended Summonses..... 43
 - 2-2:2 Who May Serve the Summons 44
 - 2-2:3 Service of the Summons 44
 - 2-2:3.1 Waiving Service..... 44
 - 2-2:3.1a Who May Be Asked to Waive Service.... 44
 - 2-2:3.1b How to Request a Waiver of Service 45
 - 2-2:3.1c Consequences of Waiving and
Refusing to Waive 46
 - 2-2:3.1d Filing of Waiver 47
 - 2-2:3.1e Risks and Limitations of Waiver
Procedure..... 47
 - 2-2:3.2 Formal Service..... 48
 - 2-2:3.2a Service Upon Individuals
Within a Judicial District of the
United States..... 49
 - 2-2:3.2a.1 Incorporation of State
Methods of Service 49
 - 2-2:3.2a.2 Federal Methods of
Service 49

Table of Contents

	2-2:3.2a.2a	Personal Service on Defendant	50
	2-2:3.2a.2b	Leaving Process at Defendant’s Dwelling or Usual Place of Abode.....	50
	2-2:3.2a.2c	Service on Authorized Agent.....	51
2-2:3.2b		Service Upon Corporations, Partnerships, and Associations.....	52
	2-2:3.2b.1	Service on Organization’s Officer	53
	2-2:3.2b.2	Service on Organization’s “Managing or General Agent”	54
	2-2:3.2b.3	Service on Authorized Agent.....	56
2-2:3.2c		Service Outside New Jersey	57
	2-2:3.2c.1	Service Pursuant to State Long-Arm Rule	57
	2-2:3.2c.2	Service Pursuant to the Federal Long-Arm Rule	59
2-2:3.2d		Service Outside the United States.....	60
2-2:3.3		Time for Service.....	61
	2-2:3.3a	Mandatory Extension for “Good Cause”.....	62
	2-2:3.3b	Discretionary Extension.....	64
	2-2:3.3c	Sua Sponte Dismissal.....	65
2-2:3.4		Waiver of Defects in Service	66
2-2:3.5		Filing of Proof of Service	67
2-2:3.6		Motion Practice	67
2-2:3.7		Miscellaneous Matters	68
	2-2:3.7a	Actual Notice Is Not Sufficient	68
	2-2:3.7b	Service in Separate Capacities	69
	2-2:3.7c	Finality of Orders Regarding Service... ..	70
	2-2:3.7d	Service by Publication and Other Alternative Methods	70

Table of Contents

- 2-3 PERSONAL JURISDICTION 71
 - 2-3:1 Jurisdiction Over Defendants Served in New Jersey..... 71
 - 2-3:2 Jurisdiction Over Defendants Served Outside New Jersey 72
 - 2-3:2.1 Minimum Contacts—General and Specific Jurisdiction 73
 - 2-3:2.1a General Jurisdiction 73
 - 2-3:2.1b Specific Jurisdiction 74
 - 2-3:2.2 Fair Play and Substantial Justice 75
 - 2-3:2.3 Intentional Torts..... 76
 - 2-3:2.3a The Supreme Court’s *Calder* Doctrine..... 76
 - 2-3:2.3b The Third Circuit’s Application of the *Calder* Doctrine 77
 - 2-3:2.4 National-Contacts Theory 79
 - 2-3:3 Practice and Procedure 80
 - 2-3:3.1 Assertion of Personal-Jurisdiction Defense 80
 - 2-3:3.2 Motions to Dismiss for Lack of Jurisdiction 81
 - 2-3:3.3 Jurisdictional Discovery..... 82
 - 2-3:3.4 Transfer Instead of Dismissal 83
 - 2-3:3.5 Appeal 84
 - 2-3:4 Frequently Recurring Issues..... 85
 - 2-3:4.1 Advertising 85
 - 2-3:4.2 Telephone and Mail 86
 - 2-3:4.3 Stream-of-Commerce..... 86
 - 2-3:4.4 Corporate Employees 88
 - 2-3:4.5 Corporate Subsidiaries..... 89
 - 2-3:4.6 Contracts 89
 - 2-3:4.7 Waiver and Forum Clauses 90
 - 2-3:4.8 Internet Presence 92
 - 2-3:4.9 Class-Action Litigation..... 93
 - 2-3:4.10 Attorneys..... 93
 - 2-3:4.11 Property Interests in Forum State 94
 - 2-3:4.12 Miscellaneous 94

Chapter 3: Venue 97

- 3-1 INTRODUCTION..... 97
 - 3-1:1 Venue Distinguished From Jurisdiction 97
 - 3-1:2 Venue Distinguished From Allocation 98
- 3-2 STATUTORY REQUIREMENTS FOR VENUE 99
 - 3-2:1 General Venue: 28 U.S.C. § 1391 99
 - 3-2:2 Venue in Diversity and Federal-Question Actions: 28 U.S.C. § 1391(b) 100

Table of Contents

3-2:3	Residence of Parties.....	101
3-2:3.1	Generally	101
3-2:3.2	Natural Persons and Public Officials.....	101
3-2:3.3	Corporate Parties	102
3-2:3.4	Unincorporated Associations	102
3-2:4	District Where a Substantial Part of the Events Giving Rise to the Claim Occurred	103
3-2:5	Venue in Suits Against a Foreign State: 28 U.S.C. § 1391(f)	104
3-2:6	Venue in Suits Against an Alien.....	104
3-2:7	Venue in Mass Disaster Suits: 28 U.S.C. § 1391(g)	104
3-2:8	Special Provisions	105
3-2:8.1	Admiralty	105
3-2:8.2	Antitrust	106
3-2:8.3	Arbitration.....	106
3-2:8.4	Banking	107
3-2:8.5	Bankruptcy.....	108
3-2:8.6	Civil Rights.....	108
3-2:8.7	Copyright	109
3-2:8.8	Eminent Domain	109
3-2:8.9	Employment Discrimination.....	109
3-2:8.10	ERISA.....	110
3-2:8.11	Interpleader	110
3-2:8.12	Labor Statutes	110
3-2:8.13	Miller Act	111
3-2:8.14	Patent	111
3-2:8.15	Racketeering.....	112
3-2:8.16	Securities	112
3-2:8.17	Taxes.....	113
3-2:8.18	Trademark	114
3-2:8.19	United States as a Defendant.....	114
3-3	TRANSFER OF VENUE: 28 U.S.C. § 1404	114
3-3:1	Plaintiff's Ability to Transfer	116
3-3:2	Defendant's Ability to Transfer.....	116
3-3:3	Grounds for Transfer	117
3-3:3.1	Convenience of Parties	118
3-3:3.2	Convenience of Witnesses.....	119
3-3:3.3	Interests of Justice	120
3-3:3.4	Forum-Selection Clauses	121
3-3:4	District to Which the Matter May Be Transferred	126
3-3:4.1	Severance and Transfer	126
3-3:4.2	Choice of Law After Transfer	127

Table of Contents

- 3-3:4.3 Jurisdiction After Transfer 127
- 3-4 TRANSFER WHERE VENUE IMPROPER:
 - 28 U.S.C. § 1406 127
 - 3-4:1 Generally 127
 - 3-4:2 Waiver 129
 - 3-4:3 Transfer to Cure Jurisdictional Defect: 28 U.S.C. § 1631 129
 - 3-4:4 Multi-District Litigation: 28 U.S.C. § 1407 130
- 3-5 FORUM NON CONVENIENS..... 131
 - 3-5:1 Generally 131
 - 3-5:2 Distinguished From Improper Venue..... 136

- Chapter 4: Removal 137**
- 4-1 INTRODUCTION..... 137
- 4-2 WHY REMOVE?..... 138
- 4-3 WHICH CASES CAN BE REMOVED? 141
 - 4-3:1 Federal Question Removal 141
 - 4-3:1.1 The Well-Pleaded Complaint 142
 - 4-3:1.2 Preemption 143
 - 4-3:1.3 Separable Claims, Cross-Claims, and Counter-Claims 145
 - 4-3:1.4 Amending Federal Claims 147
 - 4-3:2 Diversity Removal 147
 - 4-3:2.1 Parties and the Forum Defendant Rule..... 148
 - 4-3:2.1a Changes in Parties..... 150
 - 4-3:2.2 Amount in Controversy 153
 - 4-3:3 Other Grounds for Removals..... 157
- 4-4 HOW TO REMOVE 159
 - 4-4:1 Generally 159
 - 4-4:2 Timeliness..... 160
 - 4-4:2.1 Service Issues 160
 - 4-4:2.2 “Order or Other Paper” Issues 163
 - 4-4:3 The “All Defendants” Rule 164
 - 4-4:4 Filings..... 167
 - 4-4:5 Post-Removal Proceedings..... 168
 - 4-4:5.1 Allocation and Venue..... 168
 - 4-4:5.2 Service 169
 - 4-4:5.3 Time to Answer 169
 - 4-4:5.4 State Court Orders..... 169
 - 4-4:5.5 Pending Motions 170
 - 4-4:5.6 Jury Demands..... 170
 - 4-4:5.7 Abstention 171
 - 4-4:5.8 Eleventh Amendment 171

Table of Contents

4-4:6	Remands.....	171
4-4:6.1	Requirements and Effects of a Motion to Remand	171
4-4:6.2	Remand or Dismissal.....	172
4-4:6.3	Who Decides Remand?.....	174
4-4:6.4	Attorneys’ Fees on a Motion to Remand	175
4-5	AFTER REMAND.....	175
4-6	APPEALS	177
4-6:1	Timing	177
4-6:2	Appellate Review Barred.....	178
4-6:3	Appellate Review Allowed	178
4-6:4	Review of “Collateral Orders”	179
4-6:5	Review by Mandamus.....	180
4-6:6	When Remand Is Denied	181
4-6:7	Appeal of Multiple Orders	181
 Chapter 5: The Complaint		183
5-1	INTRODUCTION.....	183
5-2	BASIC CONSIDERATIONS IN DRAFTING COMPLAINTS	183
5-3	SUBSTANTIVE ELEMENTS OF THE COMPLAINT	185
5-3:1	Statement of Subject-Matter Jurisdiction	186
5-3:1.1	Federal-Question Jurisdiction.....	186
5-3:1.2	Diversity Jurisdiction	187
5-3:1.2a	Citizenship.....	188
5-3:1.2b	John Doe Defendants	190
5-3:1.2c	Amount in Controversy	191
5-3:1.3	Supplemental Jurisdiction.....	191
5-3:2	Statement of the Claim	192
5-3:2.1	Heightened Pleading Requirements	194
5-3:2.2	Pleading Fraud or Mistake	195
5-3:2.3	Pleading Special Damages	198
5-3:3	Demand for Judgment	198
5-3:4	Personal Jurisdiction.....	200
5-3:5	Venue.....	200
5-4	PARTIES.....	201
5-5	THE FORMAT OF THE COMPLAINT	203
5-5:1	Clarity and Brevity	203
5-5:2	Numbered Paragraphs	204
5-5:3	Adoption by Reference	205
5-5:4	Conclusory Allegations.....	205
5-5:5	Alternative, Hypothetical, and Inconsistent Claims	206
5-5:6	Upon Information and Belief	207

Table of Contents

- 5-6 CAPTION OF THE COMPLAINT 207
- 5-7 OTHER ITEMS IN THE COMPLAINT 209
 - 5-7:1 Signature..... 209
 - 5-7:2 Other Actions and Parties..... 210
 - 5-7:2.1 Certification of Other Pending Actions 210
 - 5-7:2.2 Other Prior Actions 211
 - 5-7:2.3 Other Parties 211
 - 5-7:3 Exhibits 211
- 5-8 DEMAND FOR JURY TRIAL 212
- 5-9 FILING THE COMPLAINT 212
 - 5-9:1 Electronic Filing 212
 - 5-9:2 Other Documents Accompanying the Complaint 213
 - 5-9:2.1 Disclosure Statement 213
 - 5-9:2.2 Civil Cover Sheet 214
 - 5-9:2.3 Summons..... 215
 - 5-9:2.4 Arbitration Certification 215
 - 5-9:2.5 Service of the Complaint 216
- Chapter 6: Responding to the Complaint 217**
- 6-1 INTRODUCTION..... 217
- 6-2 TIME TO ANSWER 217
- 6-3 RESPONSIVE PLEADINGS 218
- 6-4 ANSWER OR “OTHERWISE MOVE” 219
- 6-5 ANSWERS..... 220
- 6-6 “OTHERWISE MOVE” WITH RESPECT TO THE COMPLAINT 223
 - 6-6:1 Lack of Subject-Matter Jurisdiction Versus Failure
to State a Claim 223
 - 6-6:2 Lack of Subject-Matter Jurisdiction 223
 - 6-6:3 Failure to State a Claim 224
 - 6-6:3.1 Enforcement of Forum-Selection Clauses 228
 - 6-6:3.2 Dismissal Based Upon Affirmative Defense..... 231
 - 6-6:3.3 Consideration of Materials Beyond the
Pleadings 231
 - 6-6:4 Dismissal for Lack of Personal Jurisdiction..... 234
 - 6-6:5 Dismissal for Improper Venue 237
 - 6-6:6 Dismissal Related to Insufficient Process
and Service of Process 237
 - 6-6:7 Dismissal for Failure to Join a Party Under
Federal Rule 19..... 238
 - 6-6:8 Stay Pending Arbitration 239
- 6-7 OTHER MOTIONS..... 241
 - 6-7:1 More Definite Statement..... 241

Table of Contents

6-7:2	Striking Allegation or Defense.....	241
6-7:3	Failure to Plead Fraud With Particularity.....	242
6-8	ALLOWING AMENDED PLEADINGS TO CURE	
	DEFICIENCIES—THE “TWO BITES RULE”	244
6-9	COUNTERCLAIMS	246
6-10	THIRD-PARTY PRACTICE	247
 Chapter 7: Injunctions		249
7-1	INTRODUCTION	249
7-2	STANDARDS	249
7-2:1	Preliminary Injunctions	249
7-2:1.1	Likelihood of Irreparable Harm	253
7-2:1.2	Likelihood of Success on the Merits	264
7-2:1.3	Possibility of Harm to Other Interested Persons (Balance of the Equities)	265
7-2:1.4	The Public Interest	266
7-2:2	Temporary Restraining Orders	267
7-2:3	Permanent Injunctions	268
7-2:4	Mandatory Injunctions	269
7-2:5	Filing Injunctions	269
7-3	DISTRICT COURT PROCEEDINGS	270
7-3:1	Jurisdiction and Venue	270
7-3:2	Notice and a Hearing	272
7-3:2.1	Preliminary Injunctions	272
7-3:2.1a	Notice	272
7-3:2.1b	Hearing	273
7-3:2.2	Temporary Restraining Orders	274
7-3:2.3	Expedited Discovery	277
7-3:3	Evidence	277
7-3:4	Consolidation of Hearing With Trial on Merits	279
7-3:5	Findings of Fact and Conclusions of Law	279
7-3:6	Bond Requirement	280
7-3:7	Scope of Injunction or Restraining Order	283
7-3:8	Who Is Bound?	284
7-3:9	Motions to Modify or Dissolve Injunctions	285
7-3:10	Contempt	286
7-4	INJUNCTIONS PENDING APPEAL	288
7-4:1	In the District Court	288
7-4:2	In the Court of Appeals	289
7-5	APPEALS	290
7-5:1	Appellate Jurisdiction	290
7-5:1.1	Preliminary Injunctions	290

Table of Contents

- 7-5:1.2 Temporary Restraining Orders 292
- 7-5:1.3 Permanent Injunctions..... 293
- 7-5:2 Appellate Review 294
 - 7-5:2.1 Preliminary Injunctions 294
 - 7-5:2.2 Permanent Injunctions..... 295
- 7-6 FEDERAL INJUNCTIONS: A CHECKLIST..... 296
 - 7-6:1 Order to Show Cause for Temporary Restraining Order
at the Outset of the Case..... 296
 - 7-6:1.1 Papers Necessary 296
 - 7-6:1.2 Substantive Requirements for Temporary
Restraining Order and Preliminary Injunction
Shown in Moving Papers 297
 - 7-6:1.3 Unique Procedural Requirements of Order to
Show Cause for Preliminary Injunction With
Temporary Restraining Order 299
 - 7-6:1.4 Form of Proposed Order to Show Cause With
Temporary Restraints 300
 - 7-6:1.5 Contents/Form of Proposed Preliminary
Injunction Order 301
 - 7-6:1.6 Filing Bond or Other Security 302
 - 7-6:2 Application for Order to Show Cause Without
Temporary Restraints 302
 - 7-6:3 Application by Motion for Preliminary Injunction
Without Temporary Restraints After Case Commenced 303
 - 7-6:4 Contents of Papers or Oral Argument Opposing TRO
Application or Seeking Vacatur of Order to Show
Cause, Once Granted, on or Before Return Date for
Preliminary Injunction..... 303
- Chapter 8: Pretrial Management 305**
 - 8-1 PRINCIPLES OF CASE MANAGEMENT 305
 - 8-1:1 Overview of Federal Case Management 305
 - 8-1:2 Roles of District Judges, Magistrate Judges, and Lawyers 307
 - 8-1:3 Federal Rules and Local Rules Governing
Case Management 309
 - 8-1:3.1 Federal Rule 16..... 309
 - 8-1:3.2 Local Rules 16.1 and 26.1 313
 - 8-2 IMPLEMENTING CIVIL CASE MANAGEMENT..... 313
 - 8-2:1 Civil Case Management Conferences and Orders 313
 - 8-2:1.1 Initial Conference of Parties and Proposed
Discovery Plan..... 313
 - 8-2:1.2 Initial Scheduling Conference 317

Table of Contents

	8-2:1.2a Arbitration and Mediation.....	318
	8-2:1.2b Settlement	319
	8-2:1.2c Scheduling Orders.....	319
	8-2:1.3 Status Conference	321
	8-2:1.4 Final Pretrial Conference	321
8-2:2	Enlargements of Time and Amending Orders.....	322
	8-2:2.1 Scheduling Orders.....	322
	8-2:2.2 Joint Final Pretrial Order.....	325
8-2:3	Enforcing Case Management Orders and Sanctions	326
8-2:4	Settlement Conferences and Processes	328
8-2:5	Putting Your Best Case Forward: Practice Pointers	331
Chapter 9: Discovery		335
9-1	INTRODUCTION: THE APPLICABLE RULES	335
9-2	GENERAL PROVISIONS GOVERNING DISCOVERY	336
	9-2:1 Scope of Discovery	336
	9-2:2 District Court’s Authority to Manage Discovery	338
	9-2:2.1 Discovery Disputes and Motions.....	338
	9-2:2.2 Appeals to the District Judge.....	339
	9-2:2.3 Review by the Court of Appeals	340
9-3	DISCOVERY PRIOR TO FILING SUIT	342
	9-3:1 Rule 11 Obligation to Investigate	342
	9-3:2 Sources of Information Prior to Filing Suit	343
	9-3:3 Protection of Privileged Materials Created Prior to Suit.....	345
	9-3:3.1 Privileged Communications	345
	9-3:3.1a Privileges Recognized Under Federal Evidence Rule 501	345
	9-3:3.1b The Attorney-Client Privilege	348
	9-3:3.2 The Attorney Work-Product Doctrine	353
	9-3:3.2a The Doctrine Protects Tangible and Intangible Work Product.....	355
	9-3:3.2b The Thing Protected Must Be Prepared in Anticipation of Litigation	356
	9-3:3.2c The Doctrine Protects the Disclosure of Opinions, Not Facts	357
	9-3:3.2d Work Product Is Not Limited to Materials Prepared by an Attorney	358
	9-3:3.2e Federal Rule 26 Provides Work-Product Protection for Draft Expert Reports and Most Communications Between Counsel and Expert	359

Table of Contents

9-3:3.2f The Protection of Work Product Is Durable..... 360

9-4 PRESERVING EVIDENCE PRIOR TO SUIT..... 361

9-5 FORMAL DISCOVERY AMONG PARTIES 362

9-5:1 Sequence and Timing of Discovery..... 362

9-5:2 Initial Disclosures 363

9-5:3 Interrogatories 368

9-5:3.1 Form and Content of Interrogatories 369

9-5:3.2 Form and Content of Answers to Interrogatories 371

9-5:4 Requests for Inspection..... 374

9-5:4.1 Inspection of Documents 374

9-5:4.1a Requests for Production..... 374

9-5:4.1b The Response and Production 375

9-5:4.2 Inspection of Things and Entry Upon Land..... 377

9-5:5 Depositions Upon Oral Examination 378

9-5:5.1 The Purpose of a Deposition..... 378

9-5:5.2 When a Deposition May Be Taken 379

9-5:5.3 How Many Depositions May Be Taken 380

9-5:5.4 Where a Deposition May Be Taken 381

9-5:5.4a Parties..... 381

9-5:5.4b Non-Parties..... 382

9-5:6 Persons Before Whom a Deposition May Be Taken..... 382

9-5:6.1 Methods of Taking Depositions 383

9-5:6.2 The Notice of Deposition 383

9-5:6.3 Who May Attend a Deposition..... 385

9-5:6.4 Conduct of the Deposition 385

9-5:6.5 Using Documents at a Deposition 390

9-5:6.6 Submission of the Deposition to the Witness 391

9-5:7 Failure to Appear or Attend; Failure to Serve a Subpoena..... 393

9-5:8 Depositions Upon Written Questions 393

9-5:9 Physical and Mental Examinations 394

9-5:10 Requests for Admission 396

9-5:10.1 Form of the Request..... 396

9-5:10.2 Content of the Answer..... 397

9-5:10.3 Remedy for Failure to Admit 398

9-6 FORMAL DISCOVERY FROM NONPARTIES 399

9-6:1 Inspections and Document Productions 399

9-6:2 Depositions..... 401

9-7 DISCOVERY OF EXPERTS 402

9-8 OBJECTIONS TO DISCOVERY REQUESTS 404

Table of Contents

9-8:1	General Objections	404
9-8:2	Assertions of Privilege	406
9-9	DISCOVERY MOTIONS	408
9-9:1	Form and Content of Discovery Motions.....	408
9-9:2	Protective Orders	409
9-9:2.1	By Agreement	409
9-9:2.2	By Motion	414
9-9:2.3	Modification	417
9-9:3	Motions to Compel.....	417
9-9:4	Motions for More Specific Answers	419
9-10	DISCOVERY SANCTIONS	419
 Chapter 10: E-Discovery		427
10-1	INTRODUCTION.....	427
10-2	RULES GOVERNING E-DISCOVERY	429
10-2:1	The Federal Rules	429
10-2:2	The Local Rules	429
10-3	THE DUTY TO PRESERVE.....	430
10-4	FEDERAL RULE 26(f) MEET AND CONFER	432
10-5	PROPORTIONALITY.....	434
10-6	TWO-TIERED DISCOVERY—ACCESSIBILITY OF REQUESTED INFORMATION	435
10-7	COST-SHIFTING AND SAMPLING	437
10-7:1	Sampling.....	437
10-7:2	Cost-Shifting	438
10-7:3	“Predictive Coding” (Technology/Computer Assisted Review)	438
10-8	FORM OF PRODUCTION	439
10-9	ASSERTION AND WAIVER OF PRIVILEGE	441
10-9:1	Assertion	441
10-9:2	Waiver of Privilege	441
10-10	SUBPOENA.....	443
10-11	SPOILIATION AND SANCTIONS.....	444
10-12	TAXATION OF E-DISCOVERY COSTS AGAINST LOSING LITIGANTS	448
 Chapter 11: Motions.....		451
11-1	INTRODUCTION.....	451
11-2	PREPARING THE MOTION PAPERS.....	451
11-2:1	Standard Operating Procedure: Local Rule 7.1	452
11-2:1.1	Filing the Motion and Return Date	452
11-2:1.2	Requesting Oral Argument	453

Table of Contents

- 11-2:1.3 Time for Filing Opposition and Reply 454
- 11-2:2 The Moving Papers..... 455
 - 11-2:2.1 Form—Local Rule 10.1 456
 - 11-2:2.2 Notice of Motion 456
 - 11-2:2.3 Briefs 458
 - 11-2:2.4 Affidavits or Certifications/Declarations 460
 - 11-2:2.5 Exhibits 462
 - 11-2:2.6 Proposed Form of Order 462
 - 11-2:2.7 Proof of Service..... 464
- 11-2:3 Opposition and Reply..... 464
- 11-2:4 Cross-Motions 466
- 11-3 ELECTRONIC FILING..... 466
 - 11-3:1 How to File Electronically 467
 - 11-3:2 Special Procedures Introduced by Magistrate Judges
and District Court Judges 468
 - 11-3:3 The Consequences of Electronic Filing..... 469
 - 11-3:4 Electronic Service of Documents on All Parties..... 469
 - 11-3:5 Electronic Submission of Sealed Documents 470
 - 11-3:6 Technical Difficulties 470
- 11-4 DISCOVERY MOTIONS 471
- 11-5 MOTIONS FOR RECONSIDERATION 473
- 11-6 MOTIONS FOR PROTECTIVE ORDER AND
CONFIDENTIALITY AGREEMENTS..... 475
 - 11-6:1 Discovery Materials and Confidentiality Agreements 475
 - 11-6:2 Timing and Requirements of a Motion to Seal..... 476
 - 11-6:3 Filed Materials and Judicial Proceedings 478
- 11-7 MOTIONS FOR SUMMARY JUDGMENT..... 479
 - 11-7:1 Which Party May File Summary Judgment and When 480
 - 11-7:2 Papers in Support of Motion for Summary Judgment 481
 - 11-7:2.1 Briefs 481
 - 11-7:2.2 Statement of Material Facts 481
 - 11-7:2.3 Affidavits and Other Documents 482
 - 11-7:3 Opposition to Motion for Summary Judgment..... 483
 - 11-7:4 Federal Rule 56(d) Continuance 483
 - 11-7:5 Summary Judgment Standard May Be Applicable
to Motions to Compel Arbitration 484
- 11-8 MOTIONS FOR ADMISSION PRO HAC VICE 486
- 11-9 MOTIONS TO INTERVENE..... 488
- 11-10 MOTIONS TO AMEND OR SUPPLEMENT
PLEADINGS..... 488
- 11-11 MOTIONS FOR DISMISSAL 491
- 11-12 MOTIONS TO DISMISS FEWER THAN ALL CLAIMS..... 492

Table of Contents

Chapter 12: Final Pretrial Orders 493

12-1 INTRODUCTION..... 493

12-2 AN OVERVIEW 494

12-3 FORM AND CONTENT OF THE ORDER..... 495

12-4 PREPARATION OF THE FINAL PRETRIAL ORDER 497

12-5 THE FINAL PRETRIAL CONFERENCE 500

12-6 EFFECT OF THE FINAL PRETRIAL ORDER 501

Chapter 13: Trials 507

13-1 INTRODUCTION..... 507

13-2 JURY SELECTION..... 508

 13-2:1 General Guidelines 508

 13-2:1.1 Preparation..... 508

 13-2:1.1a The Case Statement 508

 13-2:1.1b Voir Dire Questions 508

 13-2:1.2 The Jury Pool and Background..... 509

 13-2:1.3 The Size of the Civil Jury..... 509

 13-2:1.4 The Size of the Panel 510

 13-2:2 Challenges for Cause 510

 13-2:3 Peremptory Challenges 511

 13-2:3.1 The Number and Order of Challenges..... 511

 13-2:3.2 Forfeiture..... 511

 13-2:3.3 Batson and Related Issues..... 512

 13-2:4 Seating the Jury 513

 13-2:5 Questioning and Note-Taking by Jurors 513

13-3 OPENING STATEMENTS 514

 13-3:1 Generally 514

 13-3:2 Preliminary Questions 515

 13-3:2.1 Do Counsel Have a Right to Open and
 What Is the Purpose?..... 515

 13-3:2.2 What Is the Order and Timing of Openings? 515

 13-3:2.3 Is There a Right to Present Rebuttal? 516

 13-3:2.4 What Are the Limits on Lengths of Openings? 516

 13-3:2.5 May Counsel Waive Openings?..... 516

 13-3:2.6 May Demonstrative Evidence Be Used During
 Openings? 516

 13-3:2.7 Where Do Counsel Stand?..... 517

 13-3:2.8 Can Counsel Object During an Opening?..... 517

 13-3:2.9 What Motions May Be Directed to an Opening
 Statement? 518

13-4 CLOSING ARGUMENTS 518

 13-4:1 Objectives and Guidelines..... 518

Table of Contents

- 13-4:2 The Court’s Control of Closing Remarks 519
- 13-4:3 Comments to Avoid in Closing 519
 - 13-4:3.1 Reference to Facts Not in Evidence 520
 - 13-4:3.2 Appeals to the Jury’s Bias, Sympathy, or Emotion..... 520
 - 13-4:3.3 Assertions of Personal Knowledge of Facts in Issue..... 521
 - 13-4:3.4 Expressions of Personal Opinion Regarding the Justness of the Client’s Cause or the Credibility of a Witness..... 522
 - 13-4:3.5 Personal Attacks on Counsel or Witness 522
 - 13-4:3.6 Reference to the Fact That Party Is Insured or Uninsured..... 523
 - 13-4:3.7 Reference to Disparities in the Relative Wealth of the Parties 523
 - 13-4:3.8 Request that an Award for Pain and Suffering Be Made in a Specific Amount..... 524
 - 13-4:3.9 Appeals to Apply the “Golden Rule” 526
 - 13-4:3.10 Deliberate Factual Misstatements..... 526
- 13-4:4 Should Counsel Stand and Object, or Remain Seated and Just Squirm? 526

Chapter 14: Trial and Post-Trial Motions 529

- 14-1 INTRODUCTION..... 529
- 14-2 TRIAL MOTIONS 529
 - 14-2:1 Motion to Exclude Witnesses..... 529
 - 14-2:2 Motion In Limine 530
 - 14-2:3 Motion for Judgment as a Matter of Law 534
 - 14-2:4 Motion for Judgment on Partial Findings..... 536
 - 14-2:5 Other Trial Motions..... 538
- 14-3 POST-VERDICT MOTIONS 538
 - 14-3:1 Motion for Judgment as a Matter of Law 538
 - 14-3:2 Motion for a New Trial..... 540
 - 14-3:3 Remittitur 544
 - 14-3:4 Motion to Alter or Amend Judgment 545
 - 14-3:5 Other Post-Verdict Motions..... 547

Chapter 15: Significant Variations Between the Federal and State

- Evidence and Court Rules 549**
- 15-1 INTRODUCTION..... 549
- 15-2 EVIDENCE RULE 607—IMPEACHMENT 550
- 15-3 EVIDENCE RULE 608—CHARACTER EVIDENCE 551

Table of Contents

15-4 EVIDENCE RULE 609—IMPEACHMENT
BY A CRIMINAL CONVICTION 553

15-5 EVIDENCE RULE 615—SEQUESTRATION
OF WITNESSES..... 555

15-6 EVIDENCE RULE 703—ADMISSION
OF INADMISSIBLE EVIDENCE
RELIED ON BY EXPERTS..... 557

15-7 EVIDENCE RULE 807—RESIDUAL HEARSAY 558

15-8 OTHER EVIDENCE RULES 560

 15-8:1 Evidence Rule 803—Exceptions Against
 Hearsay-Recorded Recollection 560

 15-8:2 Evidence Rule 706—Court-Appointed Expert Witnesses..... 561

 15-8:3 Evidence Rule 901—Authenticating
 or Identifying Evidence..... 561

15-9 THE SCOPE OF ALLOWABLE DISCOVERY IN
FEDERAL AND STATE COURTS..... 562

15-10 FEDERAL AND STATE COURT RULES ON
DEPOSITION TESTIMONY..... 564

15-11 PERPETUATION OF TESTIMONY BEFORE FILING OF A
LAWSUIT 566

15-12 FEDERAL AND STATE COURT RULES ON EXPERT
REPORTS 567

15-13 FEDERAL AND STATE COURT RULES ON OFFER OF
JUDGMENT 569

15-14 SPOILIATION 570

15-15 CONTEMPORANEOUS TRANSMISSION
OF TRIAL TESTIMONY 573

Chapter 16: Judgments 579

16-1 INTRODUCTION..... 579

16-2 FORM OF JUDGMENT, PREPARATION,
AND NOTICE..... 579

 16-2:1 Retention of Jurisdiction for Purposes
 of Enforcing Settlement..... 581

 16-2:1.1 Retention of Jurisdiction Requested by Parties..... 581

 16-2:1.2 Retention of Jurisdiction As a Condition
 Imposed By Court 582

 16-2:2 Costs..... 582

 16-2:2.1 Procedure..... 583

 16-2:2.2 Taxable Costs..... 585

 16-2:2.2a Service Fees..... 586

 16-2:2.2b Transcripts 586

Table of Contents

- 16-2:2.2b1 Court Proceedings
Transcripts 586
- 16-2:2.2b2 Deposition Transcripts
and Videos 587
- 16-2:2.2c Fees for Witnesses 588
- 16-2:2.2d Costs for Making Copies and
Exemplifications..... 589
 - 16-2:2.2d1 Disbursements for
Printing 589
 - 16-2:2.2d2 Exemplifications..... 590
- 16-2:2.2e Docket Fees 591
- 16-2:2.2f Court-Appointed Experts,
Interpreters, Special Interpretation
Services 591
- 16-2:2.2g Appellate Costs..... 591
- 16-2:3 Attorneys’ Fees 591
- 16-2:4 Interest on the Judgment 593
 - 16-2:4.1 Prejudgment Interest..... 593
 - 16-2:4.2 Post-Judgment Interest 594
- 16-2:5 Docketing Judgments 595
- 16-3 **DEFAULT JUDGMENTS**..... 595
 - 16-3:1 General Principles..... 595
 - 16-3:2 Entry of Default 596
 - 16-3:3 Entry of Default Judgment..... 597
 - 16-3:3.1 Clerk’s Entry of Judgment 597
 - 16-3:3.2 District Judge’s Entry of Judgment..... 599
 - 16-3:4 Relief From Default and Default Judgment 603
 - 16-3:4.1 Prejudice to Plaintiff 605
 - 16-3:4.2 Meritorious Defense 605
 - 16-3:4.3 Culpable Conduct..... 606
 - 16-3:4.4 Good Cause to Set Aside Defaults..... 607
 - 16-3:4.5 Conditions..... 608
- 16-4 **MULTIPLE PARTIES AND CLAIMS** 609
 - 16-4:1 Federal Rule 54(b) Certification..... 609
 - 16-4:1.1 Requirements..... 611
 - 16-4:1.1a Finality 611
 - 16-4:1.1b No Just Reason for Delay 612
 - 16-4:1.2 Examples 613
- 16-5 **STAYS OF JUDGMENTS**..... 614
- 16-6 **REGISTRATION OF JUDGMENTS** 615
- 16-7 **ENFORCEMENT OF JUDGMENTS**..... 617
 - 16-7:1 The Writ of Execution 617

Table of Contents

16-7:2	Enforcement Against Certain Public Officers.....	619
16-7:3	Discovery in Aid of Execution.....	619
16-8	SATISFACTION OF JUDGMENTS	620
16-9	RELIEF FROM JUDGMENTS.....	620
16-9:1	Clerical Mistakes	621
16-9:2	Other Reasons	621
16-10	OFFERS OF JUDGMENT	624
 Chapter 17: Sanctions.....		 627
17-1	INTRODUCTION.....	627
17-2	FEDERAL RULE 11	627
17-2:1	Generally	627
17-2:2	Purpose of Federal Rule 11.....	628
17-2:3	Compliance With Federal Rule 11	629
17-2:3.1	The Attorney’s or Party’s Signature	629
17-2:3.2	The Reasonable Inquiry.....	630
17-2:3.2a	“Stop, Think, Investigate and Research”	630
17-2:3.2b	Reliance on Others.....	632
17-2:3.2c	Duties of Local Counsel	632
17-2:3.3	Improper Purpose.....	633
17-2:4	The Motion	633
17-2:4.1	Schedule for the Motion	633
17-2:4.2	Time Limits for the Motion	634
17-2:5	The Sanction.....	635
17-2:6	Appeals.....	638
17-2:7	The Inapplicability of Federal Rule 11 to Discovery.....	639
17-3	28 U.S.C. § 1927	639
17-3:1	History of Section 1927	639
17-3:2	Purpose of Section 1927	640
17-3:3	The Requirement of Bad Faith	640
17-3:4	Appeals.....	642
17-4	FEDERAL RULE 37	643
17-4:1	Generally	643
17-4:2	2015 Amendments to Rule 37(e).....	644
17-4:3	Purpose of Federal Rule 37	645
17-4:4	Who May Be Subjected to Federal Rule 37	646
17-4:5	Sanctions Permitted.....	646
17-4:5.1	Dismissal	646
17-4:5.2	Other Sanctions	647
17-4:6	Appeals.....	649

Table of Contents

17-5 OTHER SANCTIONS: THE COURT'S
 INHERENT AUTHORITY 649

Chapter 18: Attorneys' Fees..... 655

18-1 INTRODUCTION..... 655

18-2 OVERVIEW OF ATTORNEYS' FEES UNDER FEDERAL LAW 655

18-3 SECTION 1988 AND ITS PURPOSE 657

 18-3:1 Prevailing Party 658

 18-3:1.1 Fee Shifting and Interim Relief..... 663

 18-3:1.2 Fee Shifting and Nominal Damages 664

 18-3:2 Calculating the Fee 664

 18-3:2.1 Generally 664

 18-3:2.2 Hourly Rates..... 667

 18-3:2.3 The Lodestar Approach..... 668

 18-3:3 Enhancement of Fee Awards 669

 18-3:4 Contingent Fees and Other Fee Agreements..... 670

 18-3:5 The Interplay Between Section 1988 and Federal Rule 68 672

 18-3:6 Fee Waiver and Section 1988 676

 18-3:7 Fee Awards and the Eleventh Amendment 676

 18-3:8 Federal Statutory Claims 678

 18-3:9 Fee Awards for Time Spent Participating
 in Administrative Proceedings 678

 18-3:10 Awards for Fees and Expenses Incurred
 in Separate Litigation 679

 18-3:11 Fee Awards for Time Spent by Paralegals and Law Clerks..... 679

 18-3:12 Fees for Experts..... 680

 18-3:13 Attorneys' Fee Awards to Pro Se Litigants
 and Public Interest Law Firms..... 680

 18-3:14 Fee Awards for Time Spent Preparing Fee Petitions 681

 18-3:15 Fee Awards for Improper Removal of Case
 From State to Federal Court..... 681

 18-3:16 Fee Awards for Exceptional Circumstances Even When
 a Case Is Voluntarily Dismissed With Prejudice..... 682

 18-3:17 Post-Judgment Interest on Attorneys' Fee Awards..... 682

18-4 FEES AWARDED AGAINST THE UNITED STATES 683

18-5 AWARDS OF COUNSEL FEES AND COSTS
 IN ACCORDANCE WITH LOCAL RULE 54.2 687

 18-5:1 Time for Filing Applications..... 687

 18-5:2 Contents of Applications..... 688

 18-5:3 Opposing a Fee Application..... 688

18-6 APPEALS 689

18-7 TABLE OF FEE-SHIFTING STATUTES 690

18-7:1 Attorneys’ Fees Referred to as “Costs” 690
 18-7:2 Attorneys’ Fees Not Referred to as “Costs” 694
 18-7:3 Costs and Expenses, Including Attorneys’ Fees 697

**Chapter 19: Alternative Dispute Resolution: Arbitration, Mediation,
 and More..... 699**

19-1 INTRODUCTION..... 699

19-2 ARBITRATION 700

 19-2:1 Overview..... 700

 19-2:2 Cases Subject to Arbitration 701

 19-2:2.1 Mandatory Assignment to the Arbitration
 Program..... 701

 19-2:2.2 Voluntary Assignment to the Arbitration
 Program..... 702

 19-2:2.3 Voluntary Private Arbitration 702

 19-2:3 Preparing for Arbitration..... 702

 19-2:3.1 Completion of Discovery and Motion Practice 702

 19-2:3.2 Submissions to Arbitrator..... 703

 19-2:3.3 Pre-Hearing Conference With Arbitrator 703

 19-2:4 Arbitration Hearing..... 703

 19-2:4.1 Generally 703

 19-2:4.2 Evidence by Proffer and by Live Testimony 704

 19-2:4.3 Resolving Questions of Law 705

 19-2:4.4 Duty of Meaningful Participation 705

 19-2:5 Arbitration Award; Judgment 706

 19-2:6 Trial De Novo Request 706

 19-2:7 Compliance Judge for Arbitration 707

19-3 MEDIATION..... 707

 19-3:1 Introduction 707

 19-3:2 Getting to Mediation 708

 19-3:3 Mediators: Role, Selection, Compensation,
 and Ethical Obligations 710

 19-3:4 Compliance Judge for Mediation..... 711

 19-3:5 Mediation Features 712

 19-3:6 Preparing for Mediation 714

19-4 OTHER ADR OPPORTUNITIES 715

 19-4:1 Summary Jury Trials and Mini-Trials 715

 19-4:2 Settlement Protocol 717

19-5 ONLINE DISPUTE RESOLUTION 717

Table of Contents

Chapter 20: Appellate Review 719

20-1 INTRODUCTION..... 719

 20-1:1 The U.S. Court of Appeals for the Third Circuit 719

 20-1:2 Contact With the Court..... 719

 20-1:2.1 Filing of Papers 720

 20-1:2.2 Electronic and Facsimile Filing..... 720

 20-1:2.3 Third Circuit Website..... 722

 20-1:3 Pro Se Cases 722

20-2 GOVERNING RULES..... 723

 20-2:1 Federal Rules of Appellate Procedure..... 723

 20-2:2 Local Appellate Rules..... 723

 20-2:3 Internal Operating Procedures..... 723

 20-2:4 Computation of Time..... 723

20-3 APPELLATE JURISDICTION 724

 20-3:1 Review of Final Decisions 724

 20-3:1.1 Finality in General..... 724

 20-3:1.1a Creating Finality..... 726

 20-3:1.1b Practical Finality of
 Post-Judgment Orders..... 726

 20-3:1.2 Partial Finality Under Federal Rule 54(b)..... 727

 20-3:2 The Collateral Order Doctrine..... 730

 20-3:2.1 General Considerations 730

 20-3:2.2 Orders Reviewable as Collateral Orders 731

 20-3:2.3 Remand of Removed Actions 734

 20-3:3 Interlocutory Appeals of Right 734

 20-3:3.1 28 U.S.C. § 1292(a)..... 734

 20-3:3.1a Injunctions..... 735

 20-3:3.2 Interlocutory Appeals Involving Arbitration 737

 20-3:4 Permissive Interlocutory Appeals 738

 20-3:4.1 Permission to Appeal Under Section 1292(b) 738

 20-3:4.1a Controlling Question of Law 740

 20-3:4.1b Substantial Ground for
 Difference of Opinion..... 740

 20-3:4.1c Advance Termination of Litigation... 740

 20-3:4.2 Certification of Class Actions 741

 20-3:4.3 Remand of Class Actions Removed
 Under CAFA 742

 20-3:5 Review by Extraordinary Writ 743

 20-3:5.1 General Considerations 743

 20-3:5.2 Ground for Issuance 744

 20-3:5.3 Procedure for Petition..... 746

 20-3:6 Special Jurisdictional Statutes..... 747

Table of Contents

	20-3:7 Review of Administrative Agency Decisions and Orders	748
	20-3:8 Appeals From Magistrate Judges’ Decisions	748
20-4	PROCEDURE TO APPEAL	749
	20-4:1 Appeal as of Right.....	749
	20-4:1.1 Notice of Appeal	749
	20-4:1.1a Filing Effective on Receipt	749
	20-4:1.1b Effect of Filing in the Court of Appeals	750
	20-4:1.2 Contents of the Notice of Appeal.....	750
	20-4:1.3 Time for Filing Notice of Appeal	750
	20-4:1.3a Timely Filing Jurisdictional	751
	20-4:1.3b Premature Filing	751
	20-4:1.3c Extension of Time for Excusable Neglect or Good Cause.....	752
	20-4:1.3d Reopening of Time	753
	20-4:2 Discretionary Appeals	753
	20-4:2.1 Content and Form of Petition	753
	20-4:2.2 Time for Filing Petition	754
	20-4:2.3 Response and Disposition.....	754
	20-4:3 Perfection of the Appeal.....	754
	20-4:3.1 Fees	754
	20-4:3.2 Civil Appeals Information Statement.....	755
	20-4:3.3 Transcript Order	755
	20-4:3.4 Corporate Disclosure Statement	756
	20-4:3.5 Appearance of Counsel	756
20-5	THE RECORD	756
20-6	THE BRIEF AND APPENDIX	757
	20-6:1 Checklist.....	757
	20-6:2 Briefs	757
	20-6:2.1 Contents of the Appellant’s Brief	757
	20-6:2.2 Contents of the Appellee’s Brief	759
	20-6:2.3 Contents of the Reply Brief	759
	20-6:2.4 Briefs of Amicus Curiae	759
	20-6:2.5 Citation of Authority.....	759
	20-6:2.6 Supplemental Citations.....	760
	20-6:2.7 Decorum.....	760
	20-6:2.8 Format, Length, and Signing of Briefs	761
	20-6:2.8a Format	761
	20-6:2.8b Length	761
	20-6:2.8c Signing.....	762
	20-6:3 The Appendix	762
	20-6:3.1 Contents of the Appendix.....	762

Table of Contents

- 20-6:3.2 Electronic Filing and Service Options for Appendix 763
- 20-6:3.3 Form of Appendix 764
- 20-6:3.4 Cost of the Appendix 764
- 20-6:4 Filing and Service of Briefs and Appendix 764
 - 20-6:4.1 Filing and Service 764
 - 20-6:4.2 Time for Filing 764
- 20-7 ORAL ARGUMENT OR SUMMARY DISPOSITION 765
 - 20-7:1 Scheduling of Oral Argument 765
 - 20-7:2 Presentation of Oral Argument 766
- 20-8 MOTIONS 767
 - 20-8:1 Filing and Service of Motions 767
 - 20-8:1.1 Procedure for Filing Motions 767
 - 20-8:1.2 Service of Motions 767
 - 20-8:1.3 Uncontested Motions 768
 - 20-8:2 Form of Motion Papers 768
 - 20-8:3 Disposition of Motions 768
 - 20-8:4 Motion Practice 769
 - 20-8:4.1 Motions to Stay or for Injunction Pending Appeal 769
 - 20-8:4.2 Motions for Summary Action 770
 - 20-8:4.3 Motions to Extend Time and Enlarge Length of Brief 770
 - 20-8:4.4 Motion to Expedite Consideration 771
 - 20-8:4.5 Motions to Seal 771
 - 20-8:4.6 Motions for Certifying Question to New Jersey Supreme Court 772
- 20-9 SCOPE AND STANDARDS OF APPELLATE REVIEW 772
 - 20-9:1 Generally 772
 - 20-9:2 Plenary Review 773
 - 20-9:3 Clearly Erroneous 773
 - 20-9:4 Abuse of Discretion 774
 - 20-9:5 Mixed Questions 774
- 20-10 FURTHER REVIEW 774
 - 20-10:1 Options for Further Review 774
 - 20-10:2 Panel Rehearing 774
 - 20-10:3 Rehearing *En Banc* 775
 - 20-10:4 Petition for Writ of Certiorari 776
- 20-11 DAMAGES AND COSTS ON APPEAL 777
- 20-12 MEDIATION 778
- 20-13 SPECIAL MASTERS 779

Chapter 21: Class Action Litigation..... 781

21-1 INTRODUCTION..... 781

21-2 NECESSARY ELEMENTS OF A CLASS ACTION..... 781

 21-2:1 Numerosity..... 782

 21-2:2 Commonality..... 783

 21-2:3 Typicality..... 784

 21-2:4 Adequacy of Representation 786

21-3 MAINTAINABILITY 790

 21-3:1 Undesirability of Individual Adjudications:

 Federal Rule 23(b)(1) 790

 21-3:1.1 Prejudice to Non-Movants:

 Federal Rule 23(b)(1)(A)..... 790

 21-3:1.2 Prejudice to Class Members:

 Federal Rule 23(b)(1)(B) 791

 21-3:2 Injunctive or Declaratory Relief: Federal Rule 23(b)(2) 791

 21-3:3 Common Questions Predominate/Superior Method
of Adjudication: Federal Rule 23(b)(3) 792

 21-3:3.1 Predominance 793

 21-3:3.2 Superiority..... 796

21-4 LITIGATION PROCEDURE 798

 21-4:1 Pleadings (Complaint) 798

 21-4:1.1 Jurisdiction 798

 21-4:1.2 Structure of Complaint..... 800

 21-4:1.3 Definition of Appropriate Class..... 801

 21-4:2 Answering Pleading 803

21-5 CASE MANAGEMENT 804

21-6 CLASS CERTIFICATION MOTION 805

21-7 DISCOVERY 808

21-8 NOTICE TO ABSENT CLASS MEMBERS..... 809

21-9 SETTLEMENT PROCEEDINGS..... 810

 21-9:1 Settlement Before Class Certification 810

 21-9:2 Settlement Contingent on Class Certification 810

 21-9:3 Settlement After Class Certification..... 811

21-10 FAIRNESS HEARINGS 812

21-11 SETTLEMENT CHALLENGES 815

21-12 ATTORNEYS' FEES..... 816

Chapter 22: Conflict of Laws..... 823

22-1 INTRODUCTION..... 823

 22-1:1 Application of Foreign National Law 823

 22-1:2 Application of Federal or State Law 824

 22-1:3 Determining Which Law to Apply and How to Apply It 825

Table of Contents

- 22-2 WHETHER TO APPLY FEDERAL OR STATE LAW 825
 - 22-2:1 The *Erie* Doctrine 825
 - 22-2:2 Supreme Court Refinements to *Erie* 826
 - 22-2:3 Applications of *Erie* Within the Third Circuit 831
 - 22-2:3.1 The Third Circuit Three-Part Test 831
 - 22-2:3.2 State Law 833
 - 22-2:3.2a Forum-Selection Clauses..... 837
 - 22-2:3.2b Arbitration Clauses..... 839
 - 22-2:3.2c New Jersey’s Entire Controversy
Doctrines..... 844
 - 22-2:3.3 Federal Law 847
- 22-3 SELECTING THE APPLICABLE FEDERAL LAW..... 850
- 22-4 SELECTING THE APPLICABLE STATE LAW 851
 - 22-4:1 Original Cases..... 851
 - 22-4:2 Transferred Cases 858
 - 22-4:3 Determining State Law 863
- 22-5 MISCELLANEOUS ISSUES 865
 - 22-5:1 Federal Common Law 865
 - 22-5:2 “Religious” Law..... 868
 - 22-5:3 Comity..... 869
 - 22-5:4 The SPEECH Act..... 875

Chapter 23: Estoppel Principles 877

- 23-1 INTRODUCTION..... 877
- 23-2 FULL FAITH AND CREDIT 877
 - 23-2:1 Law Where Judgment Rendered Governs Preclusive Effect.... 878
 - 23-2:2 Three Elements to Application of Full Faith and Credit
Doctrines 879
 - 23-2:2.1 Finality of the Prior Judgment 879
 - 23-2:2.2 Validity of the Prior Judgment..... 879
 - 23-2:2.3 “On the Merits” 880
 - 23-2:3 Administrative Decisions and Arbitration Awards..... 880
- 23-3 RES JUDICATA (CLAIM PRECLUSION)..... 881
 - 23-3:1 Res Judicata Is an Affirmative Defense 882
 - 23-3:2 Three Elements of a Res Judicata Defense..... 882
 - 23-3:2.1 Final Judgment on the Merits..... 883
 - 23-3:2.2 Same Parties or Their Privies 883
 - 23-3:2.3 Same Factual Circumstances 885
 - 23-3:3 Counterclaims..... 885
 - 23-3:4 New Jersey’s “Entire Controversy Doctrine”..... 885
 - 23-3:5 Res Judicata Effect of Dismissal Following a
Settlement Agreement..... 888

Table of Contents

	23-3:6 Res Judicata Effect of Dismissal for Failure to Prosecute	889
23-4	COLLATERAL ESTOPPEL (ISSUE PRECLUSION)	890
	23-4:1 Collateral Estoppel Applies Only to Issues Specifically Decided	890
	23-4:2 Collateral Estoppel Is an Affirmative Defense	891
	23-4:3 The Four Elements of a Collateral Estoppel Defense	891
	23-4:4 Mutuality Is Not Required for Collateral Estoppel	892
	23-4:5 Standard of Review for Collateral Estoppel Decisions.....	894
	23-4:6 When Collateral Estoppel May <i>Not</i> Be Applied.....	894
	23-4:6.1 If the Burden of Proof Was Higher in the First Action.....	894
	23-4:6.2 If the Facts Between Successive Cases are Materially Distinguishable	895
	23-4:6.3 If the Controlling Law Has Changed.....	895
	23-4:6.4 If the Fairness of the Prior Judgment Is in Doubt	895
	23-4:6.5 If the First Decision Does Not Make Clear the Basis of the Court’s Holding.....	895
	23-4:7 Administrative and Arbitration Proceedings.....	896
23-5	JUDICIAL ESTOPPEL.....	896
23-6	LAW OF THE CASE.....	898
 Chapter 24: Special Considerations in Cases Involving Foreign Parties.....		901
24-1	INTRODUCTION.....	901
24-2	SERVICE OF PROCESS	901
	24-2:1 The Service Conventions.....	902
	24-2:1.1 Applicability of the Hague Service Convention	903
	24-2:1.2 Procedures Under the Hague Service Convention	904
	24-2:2 The Inter-American Convention.....	907
	24-2:3 Service Under Federal Rule 4.....	908
24-3	DISCOVERY OUTSIDE THE UNITED STATES	910
	24-3:1 The Hague Evidence Convention.....	911
	24-3:1.1 Applicability of the Hague Evidence Convention	912
	24-3:1.2 Mechanics of Requests for Discovery	913
	24-3:1.2a Letters of Request.....	913
	24-3:1.2b Diplomatic Officers and Commissioners.....	916
	24-3:2 The Inter-American Convention on Letters Rogatory	918
	24-3:3 Letters of Request	919
	24-3:4 Blocking Legislation	920

Table of Contents

- 24-4 FOREIGN DISCOVERY IN THE UNITED STATES 922
- 24-5 ENFORCEMENT OF JUDGMENTS AND ARBITRATION AWARDS 923
 - 24-5:1 Foreign Country Judgments..... 923
 - 24-5:1.1 Generally 923
 - 24-5:1.2 Comity..... 924
 - 24-5:1.3 Foreign Country Money-Judgments Recognition Act..... 925
 - 24-5:1.4 Other Applicable New Jersey Statutes..... 927
 - 24-5:1.4a Foreign-Money Claims Act..... 927
 - 24-5:1.4b Uniform Child Custody Jurisdiction Act..... 928
 - 24-5:2 Arbitration Awards..... 928
 - 24-5:2.1 New York Convention 929
 - 24-5:2.2 Panama Convention 931
 - 24-5:3 International Mediation..... 931
 - 24-5:4 U.S. Judgments in Foreign Courts 932
- 24-6 PRELIMINARY RELIEF 932
- 24-7 THE FOREIGN SOVEREIGN IMMUNITIES ACT 934
 - 24-7:1 Defining the “Foreign State” 935
 - 24-7:2 Qualifications and Exceptions..... 936
 - 24-7:3 The “Commercial Activity” Exception..... 938
 - 24-7:4 Federal Jurisdiction 939
 - 24-7:5 Prejudgment Attachment..... 940
 - 24-7:6 Two Forms of Service Under the FSIA..... 940
 - 24-7:6.1 Service on a Foreign State..... 940
 - 24-7:6.2 Service on an Agency..... 941
 - 24-7:7 Removal..... 942
 - 24-7:8 Venue..... 942
 - 24-7:9 Discovery..... 943
 - 24-7:10 Choice-of-Law 943
 - 24-7:11 Limited Liability..... 944
 - 24-7:12 Post-Judgment Remedies 944
 - 24-7:12.1 Foreign State Property 944
 - 24-7:12.2 Agency or Instrumentality Property 945
- 24-8 ALIEN TORT STATUTE..... 945

- Chapter 25: Special Considerations in Cases Involving Civil RICO 949**
- 25-1 INTRODUCTION..... 949
- 25-2 ISSUES PERTAINING TO SUBSTANTIVE RICO VIOLATIONS..... 949
 - 25-2:1 18 U.S.C. § 1962(a) 949

I NEW JERSEY FEDERAL CIVIL PROCEDURE

Table of Contents

25-2:2 18 U.S.C. § 1962(b) 950

25-2:3 18 U.S.C. § 1962(c) 951

 25-2:3.1 Generally 951

 25-2:3.2 “Employed By or Associated With” 951

 25-2:3.3 “Conduct or Participate” 952

25-2:4 18 U.S.C. § 1962(d)..... 953

25-3 CAUSATION, INJURY, AND DAMAGE 954

 25-3:1 Proximate Cause 954

 25-3:2 Injury and Damage 955

 25-3:3 Attorneys’ Fees 958

25-4 JURISDICTION, VENUE, AND RELATED MATTERS..... 958

 25-4:1 Jurisdiction 958

 25-4:2 Venue and Service of Process 958

 25-4:3 Removal..... 960

 25-4:4 Arbitration 960

25-5 THE RICO CASE STATEMENT..... 960

25-6 RICO PLEADING REQUIREMENTS..... 961

25-7 STATUTE OF LIMITATIONS 962

25-8 RICO BUILDING BLOCKS..... 963

 25-8:1 Enterprise 963

 25-8:2 Pattern of Racketeering Activity..... 965

 25-8:3 Racketeering Activity..... 968

25-9 MISCELLANEOUS CIVIL RICO ISSUES 969

 25-9:1 Respondeat Superior..... 969

 25-9:2 Aiding and Abetting 969

 25-9:3 N.J. State RICO 970

 25-9:4 New Jersey Litigation Privilege 970

Chapter 26: Special Considerations in Cases Involving Intellectual

Property 973

26-1 INTRODUCTION..... 973

26-2 SUBJECT-MATTER JURISDICTION 974

 26-2:1 Patent and Copyright Cases..... 975

 26-2:2 Trademark and Other Unfair Competition Cases 976

 26-2:2.1 Registered Trademarks 976

 26-2:2.2 Unregistered Trademarks and Trade Dress 977

 26-2:2.3 Misrepresentations in Advertising..... 978

 26-2:2.4 Dilution of a Famous Trademark 979

 26-2:2.5 Registering or Trafficking in Domain Names of
 Marks 980

 26-2:3 Trade Secrets Cases 981

26-3 VENUE..... 982

Table of Contents

- 26-3:1 Patent Cases..... 982
- 26-3:2 Copyright Cases..... 983
- 26-3:3 Trademark Cases 983
- 26-3:4 Joinder of Defendants in Patent Actions 983
- 26-3:5 False Patent Marking..... 984
- 26-4 CONTROLLING PRECEDENTS 984
 - 26-4:1 Generally 984
 - 26-4:2 Patent Cases..... 984
 - 26-4:3 Trademark and Copyright Cases 985
- 26-5 DISTRICT OF NEW JERSEY PATENT RULES 986
 - 26-5:1 Scope of Rules 986
 - 26-5:2 Discovery..... 986
 - 26-5:3 Disclosure of Infringement and Invalidity
Contentions 987
 - 26-5:4 Claim Construction Proceedings..... 990
- 26-6 PROVISIONAL REMEDIES 991
 - 26-6:1 Patent Cases..... 991
 - 26-6:2 Trademark Cases 992
 - 26-6:2.1 Seizure Orders against Counterfeiting..... 992
 - 26-6:2.2 Preliminary Injunctions Against
Trademark Infringement..... 993
 - 26-6:3 Copyright Cases..... 996
 - 26-6:4 Trade Secrets Cases..... 996
 - 26-6:4.1 Preliminary Seizure Orders 996
 - 26-6:4.2 Injunctions..... 997
 - 26-6:4.3 Orders to Preserve Confidentiality 998
- 26-7 STAYS IN VIEW OF RELATED PROCEEDINGS 998
 - 26-7:1 Generally 998
 - 26-7:2 Patent Cases..... 999
 - 26-7:3 Trademark Cases 1001
 - 26-7:4 Copyright Cases..... 1002
- 26-8 SUMMARY JUDGMENT MOTIONS..... 1002
 - 26-8:1 Patent Cases..... 1002
 - 26-8:2 Trademark Cases 1003
 - 26-8:3 Copyright Cases..... 1004
- 26-9 SEPARATE TRIALS OF ISSUES..... 1004
 - 26-9:1 Patent Cases..... 1004
 - 26-9:2 Trademark and Copyright Cases 1005
- 26-10 JURY TRIALS..... 1005
 - 26-10:1 Generally 1005
 - 26-10:2 Patent Cases..... 1005
 - 26-10:3 Copyright Cases..... 1007

Table of Contents

26-11 REMEDIES 1007

 26-11:1 Patent Cases..... 1007

 26-11:2 Trademark Cases 1009

 26-11:3 Copyright Cases..... 1011

 26-11:4 Trade Secrets Cases..... 1012

**Chapter 27: Special Considerations in Cases Involving Labor and
Employment Law..... 1013**

27-1 INTRODUCTION..... 1013

27-2 SUBJECT-MATTER JURISDICTION 1014

 27-2:1 Exhaustion of Administrative Remedies..... 1014

 27-2:1.1 Supplemental Jurisdiction..... 1015

 27-2:2 Personal Jurisdiction and Service..... 1018

27-3 VENUE..... 1020

27-4 REMOVAL 1020

 27-4:1 Federal Labor Law Preemption 1020

 27-4:2 ERISA Preemption..... 1022

27-5 ENFORCEMENT OF AGREEMENTS TO
ARBITRATE EMPLOYMENT CLAIMS 1024

 27-5:1 Federal Arbitration Act Encourages Enforcement
 of Arbitration Agreements 1024

 27-5:2 Motions to Enforce Arbitration Agreements 1026

27-6 INJUNCTIVE RELIEF..... 1027

 27-6:1 Labor Law Cases 1027

 27-6:2 Employment Litigation..... 1029

27-7 PLEADING AND RESPONDING
TO THE COMPLAINT..... 1030

 27-7:1 Specificity 1030

 27-7:2 Timeliness of “Hybrid” LMRA Claims..... 1031

 27-7:3 Timeliness of Civil Rights Suits..... 1032

 27-7:4 Timely EEOC Charge as Prerequisite
 to Title VII or ADEA Suit..... 1033

 27-7:4.1 300-Day Statutory Limitations Period 1033

 27-7:4.2 The “Continuing Violation” Theory 1034

 27-7:4.3 Equitable Tolling 1036

 27-7:5 Scope of Complaint..... 1036

27-8 PARTIES..... 1037

 27-8:1 Liability of Individual Defendants 1037

 27-8:2 Parties Not Named in EEOC Charges 1038

27-9 CLASS ACTIONS AND REPRESENTATIVE
LITIGATION 1039

 27-9:1 Title VII Class Actions 1039

Table of Contents

27-9:2 ADEA Class Actions 1040

27-10 DISCOVERY 1042

27-10:1 Scope of Discovery 1042

27-10:2 Ex Parte Contact With Former Employees 1044

27-10:3 Discovery of Employer’s Internal Investigation 1044

27-11 SUMMARY JUDGMENT 1045

27-12 TRIALS AND EVIDENCE 1051

27-12:1 Admissibility of Evidence of Alleged Prior
Discrimination Against Other Employees 1051

27-12:2 “After-Acquired” Evidence 1052

27-12:3 Admissibility of Administrative Agency Determinations..... 1053

27-12:4 Availability of Directed Verdict 1053

27-12:5 Jury Instructions: Pretext and “Mixed Motives” 1054

27-12:6 Post-Trial Grant of Judgment as a Matter of Law 1057

27-13 DOCTRINES OF PRECLUSION AND BAR 1057

27-14 ATTORNEYS’ FEES AND SANCTIONS..... 1060

Table of Cases..... 1063

Table of Statutes 1219

Table of Rules 1231

Table of Conventions 1239

Index 1241